



Gaining Early Awareness & Readiness for Undergraduate Programs

**Application Deadline Date:
March 30, 2001**

The mission of GEAR UP is to significantly increase the number of low-income students who are prepared to enter and succeed in post-secondary education.

GEAR UP

**GAINING EARLY AWARENESS
& READINESS FOR
UNDERGRADUATE PROGRAMS**

**APPLICATION DEADLINE DATE:
MARCH 30, 2001**

**THE GEAR UP REGULATION, STATUTE, AND THE
CLOSING DATE NOTICE PRINTED IN THE FEDERAL REGISTER
CAN BE FOUND AT:
[http:// www.ed.gov/gearup](http://www.ed.gov/gearup)**





UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF POSTSECONDARY EDUCATION

THE ASSISTANT SECRETARY

January 19, 2001

Dear Applicant:

The Department of Education supports a wide variety of programs aimed at strengthening the quality of, and ensuring equal access to, education in our nation. We are pleased to announce that we are accepting applications for Fiscal Year 2001 grants to be awarded under Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP). The GEAR UP initiative is designed to accelerate the academic achievement of cohorts of disadvantaged middle and secondary school students so that increasing numbers of these young people will graduate from high school and enroll and succeed in college. To accomplish this goal, GEAR UP provides funding for two types of competitive grants — **Partnership grants** and **State grants** — that support academic preparation and awareness of financial aid options. Each grant is for five years.

Applicants must work cooperatively with organizations in their communities and States to develop meaningful partnerships and collaborations that will support and sustain their GEAR UP projects and build capacity for sustaining school reform. A list of ED resources that can help applicants develop their GEAR UP projects is available on our website, <http://www.ed.gov/gearup>. We encourage prospective applicants to review these technical assistance materials and research. Some of these publications contain guidelines for developing and coordinating an early college preparation and awareness project, as well as profiles of successful mentoring and early college preparation programs across the nation.

The closing date for the GEAR UP Partnership and State grant competitions is March 30, 2001. Applications must be received or postmarked by that date to be eligible for review. It has been our experience that the review process can be completed faster if applicants voluntarily submit a signed original and six (6) copies of the application package. ED requires applicants to submit a signed original application and two copies of the grant application. The additional four (4) copies will help us expedite the review process.

Detailed mailing instructions are provided in the Application Transmittal Instructions. **Applications submitted late will not be accepted.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.

1990 K STREET, N.W. WASHINGTON D.C. 20006

Our mission is to ensure equal access to education and to promote educational excellence throughout the Nation

Questions about the application package or the grant competitions should be directed to Tanya Thornton or Sylvia Ross, U.S. Department of Education, 1990 K Street, NW, Room 6100, Washington, DC 20006. ATTN: CFDA 84.334, by telephone (202) 502-7676, e-mail gearup@ed.gov, or fax (202) 502-7675.

Thank you for your interest and for your commitment to help raise expectations and to ensure that students are well prepared for college.

Sincerely,

A handwritten signature in black ink, appearing to read 'A. Lee Fritschler', with a long horizontal flourish extending to the right.

A. Lee Fritschler
Assistant Secretary
Office of Postsecondary Education

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**GAINING EARLY AWARENESS AND
READINESS FOR UNDERGRADUATE PROGRAMS**

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THE CHALLENGE: HELPING MORE LOW-INCOME STUDENTS PREPARE FOR COLLEGE

Although attendance is at its highest rate ever, gaps still exist between high- and low-income students. The opportunity for low-income students to prepare for and go on to college is more limited because of low expectations and motivation, a lack of appropriate curriculum, instruction and support, and/or the absence of information that clearly introduces available educational options and opportunities. Although this problem cuts across all income levels (fully a third of middle income students with average test scores *do not* attend college), it is particularly acute for the nation's poor. High-achieving students from low-income families are still five times as likely *not* to attend college as their high-achieving, more economically advantaged peers.

While all the reasons for this predicament may not be known, some are manifest. Too many of this nation's economically disadvantaged children are neither sufficiently encouraged to strive for college nor prompted early enough to think about continuing education beyond high school. Their lack of planning results in failure to prepare for college by neglecting to enroll in the secondary school courses needed for college entrance. For those who do take the right courses, however, the kind of extra support needed to succeed academically is often unavailable. Moreover, as studies show, the parents of these same students seldom feel that they possess the information to encourage and guide their children toward post-secondary education. They lack but want more information about college preparatory and advanced placement courses, as well as the cost of college and strategies for affording it. Without this information, they cannot adequately encourage and guide their children toward a college education. Thus unfortunately, opportunities for children from low-income families, including simple access and availability of information and encouragement, and an understanding of the need to take the right courses and get the help they need to succeed, is often left to happenstance rather than design, unlike the case of their more advantaged peers.

In recognition of the need to provide a true opportunity to the quality of education that all children deserve, GEAR UP was signed into law as part of the Higher Education Amendments of 1998 (Public Law 105-244). GEAR UP is designed to enable more young Americans to stay in school, study hard, and take the right courses to go to college. It is aimed at providing services to low-income student populations through communities and States to create new or expanded plans that strengthen their schools. Based upon proven models, GEAR UP programs support institutions of higher education, local schools, community-based organizations, businesses, and States to work together to help students and their parents gain needed knowledge and strengthen academic programs and student services in the schools. Through GEAR UP, the U.S. Department of Education addresses the challenge to help more low-income students become prepared academically and financially to enter into and succeed in college.

THE GEAR UP PROGRAM: TWO KINDS OF GRANTS

GEAR UP is designed to enable more young Americans to stay in school, study hard, and take the right courses to go to and succeed in college. It is aimed at increasing the achievement levels of low-income students through effective partnerships. Based upon proven models, GEAR UP programs support institutions of higher education, local schools, community-based organizations, businesses, and States in their efforts to help students and their parents gain needed knowledge, strengthen academic programs, implement changes in curriculum, provide more rigorous coursework, raise expectations, and raise the level of preparation of teachers. Through GEAR UP, the U.S. Department of Education addresses the challenge to help more low-income students become better prepared academically to enter into and succeed in college.

1. **PARTNERSHIP GRANTS** support multi-year programs to Partnerships consisting of colleges and low-income middle schools, plus at least two other partners — such as community organizations, businesses, religious groups, college student organizations, State or local education agencies, and parent groups — to increase college-going rates among low-income youth through comprehensive mentoring, counseling, outreach, and supportive services for participating students.

Approximately seventy-three (73) five-year awards averaging \$460,000 for the first year of award will be issued. The maximum annual Federal contribution is \$800 per student directly served.

2. **STATE GRANTS** support multi-year grants to States to provide early college awareness activities, including awareness of financial assistance, and improved academic support including mentoring, counseling, outreach, supportive services and scholarships.

Approximately nine (9) five-year awards will be made with a maximum of \$2,500,000 per year.

Note: Estimated average cost of first-year Partnership Grant awards are based upon previous first-year Partnership Grant costs. The annual maximum State Grant Award was set to encourage State applications and to provide as many awards as possible given available funds. In all cases, the amount requested should be appropriate to your needs and resources. The final number of awards made will be determined by the quality of the applications received.

TO MEET THE CHALLENGE: THE NEED TO CLOSE THE GAPS; DEVELOP EFFECTIVE STRATEGIES; AND COMMITMENT

Applicants must: demonstrate and effectively address manifest need; design and implement effective strategies based on research and good practices; and ensure lasting commitment to the project.

Whether applying for a State Grant or a Partnership Grant, each proposal must indicate its ability to address three critical factors: the need to close the gaps in achievement between students in various socio-economic groups; the ability to utilize solid research foundations and good practices to implement a successful program; and the commitment on the part of the principal partners to sustain the program after the grant period ends.

THE NEED TO CLOSE THE GAPS

Applicants must:

- 1) Define needs of educational attainment and gaps in services;
- 2) Identify a cohort of students;
- 3) Establish program objectives that work from a clearly established baseline of need and measure progress over time;
- 4) Design a timeline with a budget that supports it; and
- 5) Design an evaluation plan that provides a basis for measuring progress over time.

Defining the educational needs of students and gaps in services should direct the program. To develop an adequate program of intervention, applicants must conduct a detailed needs analysis which describes the weaknesses in the existing system of services and infrastructure in the schools and the surrounding community to be served. The applicant must then identify a specific student cohort with special characteristics described in a later section. The cohort should be identifiable and the projections for its composition over time should be understood so that progress can be measured. Program objectives that correspond with the needs of the population must be established by setting performance targets that address the needs identified at the outset in the baseline data. On-going assessment, with feedback from experience informing progress, should be a critical component of project implementation to assure continuous improvement in closing the gaps.

DESIGN AND IMPLEMENT EFFECTIVE STRATEGIES

Applicants must provide a proper strategy to effect meaningful change. Strategies for delivering services through program implementation must rely on good, current research and well-defined objectives. Objectives orient the program toward achievement rather than simple participation in activities and can combine to serve a goal, or can serve more than a single goal. For example taking algebra by the eighth or ninth grade is an activity known to be vital in preparing for college, and in order to be able to complete the entire mathematics sequence students should be taking geometry, trigonometry, chemistry, calculus, and physics before graduating from high school. Thus a goal could be to exceed the ordinary 15% of low-income students who typically enroll in algebra by the eighth grade. Also, since it is known that those who do take algebra and

geometry are almost three times more likely to attend college than those students who do not, this activity would likewise serve the goal of increasing the chances for success of the students who enter college.

Objectives are the functional units serving goals. Usually, this is best demonstrated by setting benchmarks: x % of students will have passed Algebra by 8th grade. However, other factors may need to be considered when setting benchmarks: how rigorous is the Algebra class, how much support will it take to increase the percentage of students passing the class? Each goal needs a clear assessment of what strategies and services will be employed to meet the need of these particular students, yet adhere to best practices and recent research findings.

Strategies may involve many dimensions: curricular changes, upgraded teacher professional development, smaller classes with more targeted instruction, mentoring, one-on-one tutoring or Saturday academies, among others. However, they must be specifically tailored to meet the needs of students and effectuate useful changes which will close the achievement gaps.

Partnerships involve many potentially powerful resources that need to be carefully orchestrated to best deliver services suited for the needs of the program. Partnerships should be formed strategically to ensure that there is true collaboration among all the entities for at least the duration of the grant and, as much as it is possible, beyond the grant period.

A strong partnership is not necessarily a big one or one with a long list of blue ribbon names, but it must be a manageable unit whose members have been carefully selected to accomplish specific objectives in true collaboration. Clarification of partnership members with their roles and contributions clearly identified must be accomplished to best indicate the possible success of the program.

Achievable objectives are the clearest part of the strategic plan, and properly addressing the need for GEAR UP programs and the planning and implementation of services must be described in terms of achievable objectives in the proposal. Analyzing these achievements, accomplished in increments, will later form the basis for the grant's continuation. Analysis refers to extracting larger meaning from data and information to support evaluation and decision making within your organization. Analysis entails using data to determine trends, projections and cause and effect—that might not be evident without analysis. Data and analysis support a variety of purposes, such as planning, reviewing your overall performance, improving operations, and comparing your performance with comparable organizations or with “best practices” benchmarks.

A major consideration in performance improvement involves the selection and use of performance measures or indicators. The measures or indicators you select should best represent the factors that lead to improve student, operational, and financial performance. A comprehensive set of measures or indicators tied to student, stakeholder, and organizational performance requirements represents a clear basis for aligning all activities with your organization's goals. Through the analysis of data from the tracking processes, the measures or indicators themselves may be evaluated and changed to better support such goals.

Good strategies should include: a rigorous academic program, tutoring, mentoring, professional development, development or acquisition of resources; after school programs, summer programs, college counseling, financial counseling, scholarships, and other services as well as delivering needed supplies and technical assistance.

A great deal of research has shown the disparity of college attendance rates among students from different income groups. In many cases this results from a self-fulfilling prophecy, because lower-income students do not see college in their future and as a result, do not sign up for courses to prepare them for college level work.

The solution to this problem lies partly in having students take a more rigorous curriculum. Research tells us that nothing will increase the number of low-income students going to college more than increasing the number of low-income students who are ready to do college work. GEAR UP grants can be used to provide enhanced academic services necessary to accomplish this. GEAR UP funds can be used for both remedial and enrichment services, depending on the needs and circumstances of the students and schools involved. For example:

Tutoring

Fundamental to supporting classroom instruction, tutoring supports commitment and incremental success vital to motivating students. While GEAR UP funds can be used to cover costs associated with tutoring, these services can also be provided by local college students and other partners, to satisfy part of the matching requirement. What better way to demonstrate that college is possible than getting the extra academic support low-income middle and high school students need one-on-one from successful college students? Through America Reads and America Counts College Work-Study waivers, college students may be able to earn college work-study for their tutoring.

Professional Development and Curriculum Improvement

GEAR UP expressly encourages the support of professional development and curriculum improvement. Strengthening subject matter knowledge and teaching skills among classroom teachers is integral to GEAR UP's mission of fostering long-term, sustainable school-wide improvements. Funds may be used for training, courses, materials, textbooks, and other professional resources to strengthen classroom instruction. Successful applicants will expressly show how professional development and curriculum improvement benefit GEAR UP student cohorts.

21st Century Scholar Certificates

All GEAR UP students will receive a 21st Century Scholar Certificate congratulating them on their commitment and reminding them that if they study hard, take challenging courses, and finish high school, they will be able to go to college. On the reverse side of the certificate will be a summary of how much Federal aid may be available to them based on income. Supplemental information will also be provided which gives further detail about the forms of available Federal financial assistance and where and how families can learn even more.

The Department supplies both the 21st Century Scholar Certificates and the accompanying supplemental material. The grantee is responsible for personalizing the certificates by adding the students' names, and distributing the certificates to participating GEAR UP students. Grant funds may be used for hosting an event where families, faculty, partners, and others supporting the local Partnership are invited and students receive their certificates.

After-School and Saturday Programs

GEAR UP funds can be used to extend the school day and week by providing teachers, classrooms, and materials for after school programs. The level of emphasis on improving skills and subject knowledge, as opposed to a focus on advanced academic preparation, can vary depending on the project and should be tailored to the needs of the student cohort(s). GEAR UP funds can also be used to provide refreshments (e.g., after-school snacks) and the transportation

associated with these programs, though they cannot be used for purchasing school buses and the like. Projects are encouraged to use GEAR UP funds to leverage Federal, State and local funds to supplement these programs.

Summer Programs

GEAR UP funds can support summer programs. Again, the needs of the students and resources committed dictate whether and to what degree emphasis is on remediation or enrichment. Summer programs are sometimes designed around themes such as science and math or computer camps. When college campuses are not fully utilized in summer months, they may supply facilities and other resources for such programs, which can be used as part of a grantee's non-Federal contribution to the project's cost. In other cases, meeting places and materials and other costs can be paid for by GEAR UP funds or supplied by matching resources from the grantee.

Mentoring

Complementing basic academic enhancement, mentoring services provide valuable opportunities for GEAR UP students. Mentoring often inspires students with personal insights, connecting academic work with practical application. And not insignificantly, the real life benefits of studying hard and staying in school are impressed on the students by personal observation. Mentors can also provide friendship, guidance and connect the students to other resources and help resolve conflicts and problems as they develop. For more information on mentoring, see *Yes, You Can: A Guide for Establishing Mentoring Programs to Prepare Youth for College*, available on our website. Incidental expenses related to mentoring and coordination and training can be paid out of grant funds. However, it is more common that grantees provide mentoring services as a matching contribution.

College Counseling

Unfortunately, it is more often the exception rather than the rule that low-income students are told "you can go to college." Not surprisingly, they seldom see higher education in their future and as a result, fail to investigate how they may obtain a college degree. GEAR UP grants can be used in a variety of ways to support college counseling — from college fairs to career nights, purchasing or printing information kits, to underwriting visits to college campuses. In short, GEAR UP grants can support nearly any reasonable approach to inform and counsel students on what they must do to prepare for college.

Financial Counseling

Research indicates that low-income families often overestimate the cost of higher education. When college is perceived as unaffordable, there is little attempt to learn about tuition, room and board, etc. or the numerous forms of financial assistance that help students pay for college. Research also shows that communicating with and engaging families in their children's education is a critical step in getting students on the pathway to college. GEAR UP grants can be used to provide the tools needed to reach out and communicate effectively with families about the real costs of college. GEAR UP can fund parent education programs and materials. Moreover, because effectively recruiting families is such a challenge, successful applicants should consider *how* they are going to ensure participation. Grantees can encourage family involvement by funding a wide range of activities such as creating and printing handout materials and underwriting the costs of door-to-door campaigns to bring families into the program.

Scholarships

Scholarships are required for GEAR UP State grants. They are not required for Partnership grants, though they are encouraged. The discussion that follows is pertinent to Partnership grants only, since the requirements for State GEAR UP grant scholarships are specified in law. Scholarships can serve multiple GEAR UP objectives. Most important is providing tangible resources to ensure that after graduating from high school, students will have the resources to go to college. Depending on how the program structures scholarships, they can also be valuable tools for motivating students by rewarding progress and providing incentives for students to persist.

Family Counseling

Some current grantees have taken a holistic approach to GEAR UP services, integrating academic support for students with recreational activities, health and nutrition counseling, technology training, and family support services for the entire family. Offering peripheral support to entire families is permissible, so long as the primary service goes to students and their parents and the goal is to provide the opportunities, support and information low-income students need to have high expectations, stay in school, take the right courses, and go to college.

Acquire Technology & Supplies

National reports highlight how enrichment programs depend on the availability of supplies, especially access to technology. Grantees may use grant funds to make limited supplies acquisitions which should be treated as seed money. Such acquisitions might be used to leverage additional matching supplies support from the Partnership members or establish a core infrastructure to support requests for additional resources from corporate and foundation sponsors. Supplies acquired with Federal money should contribute expressly to the applicant's plan for preparing students for college and, where applicable, to communicating with families about financial planning for college. Grantees are reminded to address this in discussing their supplies acquisitions in the budget section of their proposal.

Supplies acquired through donations from partners, corporate sponsors, or foundations may be counted as matching commitments to the grant. Supplies or communications networks not acquired specifically for the implementation of the grant (supplies and networks in the hands of the applicant prior to the grant's start date) may not be counted as part of the match. However, the cost associated with the *use* of these supplies may be counted toward the non-Federal contribution. Moreover, these supplies could form a valuable infrastructure platform for the proposed initiative, and it should be described in the application. Grant funds awarded under this program are not for the purchase of large amounts of supplies. In addition, proposals to supplement or supplant spending plans for scheduled replacements or upgrades of equipment will not be supported.

For the purposes of a Federal grant, "Equipment" is defined as tangible non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Most technology items should be categorized as "Supplies" and should be listed under the "Supplies" category in the applicant's budget. The only circumstance where technology items with a unit acquisition cost of less than \$5,000 would be listed under the "Equipment" category is when the applicant's organization has set a lower threshold for "Equipment" (e.g., unit acquisition cost of \$500).

As with the use of all grant funds, grantees are encouraged to consult the applicable OMB circulars regarding cost principles, especially OMB circular A-21. If suitable for addressing local educational needs, grantees may develop and demonstrate innovative learning resources, such as

Web-based learning environments, on-line forums, multimedia project-based learning activities, multimedia portfolios, modeling and simulations, among others. Grantees are particularly encouraged to collaborate with others who have been developing such resources (on their campuses or on the Web) — forming expanded learning communities that demonstrate improved teaching and learning with these media in middle and high school classrooms. Grantees may also purchase commercially produced learning resources and other widely used content applications. The acquisitions should be supported by substantial faculty development to support the infusion of these new learning resources into the curriculum. New learning resources should not be used as “bolt-on” attachments to traditional lecture-based courses. Again, the emphasis should be on how this ultimately benefits students and the goals of the program.

Participate in Conferences and Technical Assistance Workshops

It is essential for grantees to collaborate, together and with others, on strategies for improving the academic experiences of low-income students. To achieve this objective, applicants should plan and budget for attendance at several meetings over the next year, in the event that they are awarded a grant. Allow for up to five representatives drawn from across the Partnership to attend up to two meetings sponsored or co-sponsored by the U.S. Department of Education paid for out of GEAR UP funds (Federal and/or non-Federal). Grantees may also make prudent use of grant funds to participate in other conferences during the year, if these activities will contribute to their efforts to prepare GEAR UP students for college and help inform parents about the cost of college and student financial assistance.

CREATE LONG TERM COMMITMENT

GEAR UP is committed to sustainable and systemic change. Project goals and activities should be driven by the needs of schools and of K-12 students. Applications should focus on the impact of the project in terms of the depth and breadth of change, and how the changes will be lasting ones. This calls for vision and commitment on the part of all involved — educators, parents, students, partners, and States. It also calls for a commitment to continue the program beyond the term of the Federal grant after the funding runs out. Projects funded by GEAR UP will be expected to have a credible strategy for institutionalization once Federal support ends which means that there is a clear and unmistakable commitment by the principals to continue implementing comprehensive changes after the grant period is over, including allocating the resources necessary to do this work successfully. GEAR UP requires matching funds; the Federal Government cannot provide more than fifty percent of the funds for a project. Additionally GEAR UP funds must supplement and not supplant funds extended for existing programs. Proposals should identify ongoing funding sources that are specifically committed to the project after the grant period, starting with specific steps that will be taken in the first year. A strong indicator of an effective institutionalization strategy is whether the project match is all from in-kind sources or is a good mix of in-kind support and cash funds.

Commitment of this sort requires leveraging resources, to sustain success both in the short- and long-term. Commitment to careful planning, proper execution, teamwork, communication, self-reflection, and dedication to continuous improvement ensure such success. And success in these terms is absolutely vital if we are to meet the challenge to give low-income students high expectations, have them stay in school, take the right courses, study hard, and go to college.

Partnerships are required to coordinate and collaborate with existing intervention programs that do not duplicate the services already provided to a school or a community. For example, applicants receiving grants from the U.S. Department of Education’s “21st Century Learning

Centers,” “Partnership Grants for Improving Teacher Quality,” “Preparing Tomorrow’s Teachers to Use Technology,” and “State Grants for Improving Teacher Quality” must coordinate their efforts with grants awarded under this program. Other Federal agency programs also may complement or strengthen the work of an initiative supported by this program. These include, for example, National Science Foundation support for the use of technology in improved mathematics and science education; National Aeronautics and Space Administration funded initiatives to improve the use of space science data in the classroom; the Universal Service Program (E-Rate) supported by the Federal Communications Commission; and technology infrastructure initiatives supported by the Department of Commerce.

However, funds from other Federal sources may not be commingled with GEAR UP Grant funds, or counted as matching dollars in the budget section of the application. Participation in these complementary Federal efforts may make a significant contribution to the success of the proposed initiative, and this potential impact should be described in the grant application, but the budget for each Federally funded effort or activity must be administered separately.

Additional sources of support that may contribute to the work of a GEAR UP project funded under this initiative include: foundation grants, corporate sponsorships, and grants or contracts from other non-Federal Government agencies.

PARTNERSHIP GRANTS PROGRAM OVERVIEW

Partnership grants are competitive five-year matching grants that support *early intervention* programs designed to increase college attendance and success and raise the expectations of low-income students. The maximum annual Federal contribution to a Partnership grant is \$800 for each student directly served. Generally, the Partnership's non-Federal contribution must at least match the Federal contribution by equaling at least 50% of the total five-year project cost.

This non-Federal match may be met through cash or in-kind contributions. (See the section on Matching Funds below.)

WHO CAN APPLY?

A Partnership Grant application must be submitted on behalf of a locally designed Partnership between one or more local education agencies (LEA) or school districts and one or more degree-granting institutions of higher education (IHE), and at least two other entities such as arts groups, businesses, religious groups, college student organizations, State agencies, family organizations or parent groups. Each partner should be carefully chosen for its potential to make substantive collaborative contributions to a comprehensive program that will enable low-income students to stay in school, take the right courses, make it past tough transitions, and go to college.

Generally, the LEA must act on behalf of at least one low-income school that has a seventh grade and in which at least 50% of the school's students are eligible for free or reduced-priced lunch under the National School Lunch Act, as well as the secondary schools that those students normally attend.

Applications must be submitted on behalf of the Partnership by a single Partnership member that is prepared to meet the legal and administrative responsibilities of a U.S. Department of Education grantee [34 CFR Parts 74, 75, 77, 79, 81, 82, 85 and 86]. This Partnership member will be the designated grant "Applicant" and will serve as the Partnership's Fiscal Agent. By Statute, the Partnership's Fiscal Agent, and therefore the Applicant, must be either an LEA agency or an IHE. However, any member of the Partnership may take the lead in identifying the partners, gaining their commitment, organizing the effort, etc. In an appendix to the application, the applicant member must submit the "Applicant Organization" and the appropriate "Partner Identification" forms that summarize the commitments each Partnership member plans to make (these forms are included at the end of this booklet).

Partnership projects must be based on a Partnership (new or existing) between:

- At least one degree-granting institution of higher education.
- At least one local educational agency (school district) on behalf of one or more schools each with a 7th grade and the high school(s) that the students at these middle schools would normally attend. Generally, at least 50% of the students attending the participating school(s) with a 7th grade must be *eligible* for free or reduced-priced lunches. However as an alternative, Partnerships may choose to work with one or more grade levels of students, beginning not later than the 7th grade, who reside in public housing.
- At least two additional community organizations, such as businesses, professional associations, community based organizations, state or local agencies, philanthropic organizations, religious groups, and other public or private organizations (e.g., college student organizations).

PARTNERSHIP GRANTS MUST:

- *Promote rigorous academic coursework* based on college entrance requirements.
- *Work with a whole grade-level of students* in order to raise expectations for all students.
- *Start with students no later than the 7th grade in a school with a 7th grade, follow into high school, and continue through high school graduation* with comprehensive services including mentoring, tutoring, counseling, and other activities such as after-school programs, summer academic and enrichment programs, and college visits.
- *Inform students and parents about college options and financial aid*, including providing students with a 21st Century Scholar Certificate — an early notification of their eligibility for financial aid.

Any member of the Partnership may be the chief organizer of the project, but only the institution of higher education *or* the local education agency may act as the Fiscal Agent for the Partnership grant. The Fiscal Agent also serves as the grant “Applicant” on behalf of the Partnership. Partnership projects must have a full-time coordinator. Under special, approved conditions, a part-time coordinator whose primary responsibility is the GEAR UP project may be allowed.

A Partnership must use a whole-grade or “cohort” approach. That is, a Partnership must provide services to *all* students in the participating grade levels, rather than a selected group of students. Services must be provided to a cohort starting no later than the 7th grade and continuing through high school. Each cohort must include either:

- a) All the students in a particular grade level(s) at a participating school(s) that has a 7th grade and in which at least 50% of the students are eligible for free or reduced-price lunch under the National School Lunch Act; or
- b) All the students in a particular grade level(s) who reside in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937.

The cohort approach requires that services must be provided to all students in a participating grade level or “cohort” until that grade level moves on to the next school—for example, moving from middle school to high school. New students at the same grade level as the students in the GEAR UP cohort, who enroll in the school in which the cohort began to receive services, must be considered a part of the cohort and provided GEAR UP services as well. Those students who leave the cohort by transferring to a school that is not participating in GEAR UP, for example, may continue to receive GEAR UP services, but are not required to be served.

Once the cohort moves on to another school (for example, moving from middle school to high school), a GEAR UP project must continue to provide services to at least those students in the cohort who attend participating secondary schools that enroll *a substantial majority* of the students in the cohort. However, a GEAR UP project is not required to follow all individual students regardless of which school they attend.

Partnership projects are required to provide early college preparation and awareness services through comprehensive mentoring, counseling — including financial aid counseling and information about opportunities for Federal financial aid, and activities and information regarding fostering and improving parent involvement in preparing students for college, college admissions and achievement tests, and college application procedures — outreach, and supportive services for participating students.

Each student in a GEAR UP project will receive, through the program, a “21st Century Scholar Certificate” from the Secretary of Education. These certificates will be personalized by the grantee and will indicate the amount of Federal financial aid for college that a student may be eligible to receive. Grantees are responsible for personalizing the certificates by adding the students’ names, and distributing these certificates to GEAR UP students. Grantees are encouraged to host a special event where students may receive their certificates attended by families and community leaders.

Each Partnership must ensure that its activities are coordinated with other GEAR UP projects serving the same school district or State, as well as with other related Federal and non-Federal programs as stated above. **Partnerships are encouraged to provide scholarships to students, but are not required to do so. Partnerships may provide scholarships to participating GEAR UP students in any of the following ways:**

1. Through a “State grant-like” Scholarship Component

While by law, partnerships are not required to provide scholarships, they are encouraged to provide them as demonstrated in the program priorities. Scholarships that meet the requirements of the Scholarship Component may be provided with Federal funds or counted toward the Partnership’s non-Federal match. The requirements of this Scholarship Component are the same as those specified in the law for State grants, and if a Partnership wishes to include such a component, it must abide by the same requirements, which are:

- At least 50% of grant funds must be spent on the Scholarship Component.
- To receive a GEAR UP Scholarship, an eligible student must be less than 22 years of age at the time of first scholarship award; have received a secondary diploma or its recognized equivalent on or after January 1, 1993; be enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education that is located within the State where the Partnership resides (*exception – as an option, a “portable” scholarship program may be offered that allows participating students to use their scholarships to attend institutions of higher education outside of their State.*); and have successfully participated in the early intervention component of a GEAR UP or National Early Intervention Scholarship and Partnership (NEISP) project or have participated in a Federal TRIO Program.
- A priority must be placed on awarding scholarships to students *eligible* to receive a Federal Pell Grant for the same academic year, but they must supplement, not supplant, existing scholarship money.
- Partnerships may determine the maximum amount of an eligible student’s scholarship, but the *minimum* amount of a scholarship *must not* be less than: 75% of the average cost of attendance for an in-State student in a four-year program of instruction at a public institution in their State; or the maximum Federal Pell Grant for such a fiscal year.

2. Through the Early Intervention Component

Scholarships may be provided with Federal funds or be counted towards the Partnership's non-Federal match if they are directly related to GEAR UP early college preparation and awareness activities. These scholarships would not be subject to the requirements of the "Scholarship Component" described above. Examples include: requiring each student to enter into an agreement to achieve a number of academic milestones in exchange for tuition assistance, or providing financial assistance for tuition, housing, books and other expenses for a summer academic program.

3. Outside of the GEAR UP Project Budget

Scholarships that do not meet the requirements of the “Scholarship Component” and are not directly tied to GEAR UP early college preparation and awareness activities may be provided by Partnerships. However, *these scholarships may not be provided by Federal funds or counted toward the non-Federal match*, and should be considered activities outside the budget of the GEAR UP Partnership project.

DEVELOP MATCHING COMMITMENTS

Federal funds shall provide not more than 50 percent of the total cost of any project funded by a grant under this program. The non-Federal share of project costs may be in cash or in kind, fairly valued, including services, supplies, or equipment. This grant program encourages the leveraging of grantee resources, and investments and contributions from the private and public sectors. Peer reviewers may consider that a substantial cash match demonstrates a stronger commitment to institutionalization than matches which contain mostly in-kind contributions. Subject to some exceptions, the total of non-Federal commitments made by States and local Partnership members and the value of private sector investments and donations may be included in the match. It is particularly important that these matching commitments contribute to the long-term sustainability of the project after the grant’s funding ends. Projects are encouraged to use GEAR UP funds to leverage Federal, State and local funds to supplement programs.

In determining the adequacy of resources under the selection criteria for grants, applications will be evaluated on the relevance and demonstrated commitment of each partner in the proposed project and the potential for continued support of the project after Federal funding ends.

All grant recipients are limited to a maximum indirect cost rate of eight (8) percent of a modified total direct cost base or the amount permitted by its negotiated indirect cost rate agreement, whichever is less.

EXCEPTION TO THE 50% NON-FEDERAL MATCH REQUIREMENT: FOR PARTNERSHIP GRANTS ONLY

Under specific circumstances, an applicant may propose a non-Federal contribution of less than 50%, but not less than 30% of the total cost of the project. This option exists only in specific cases where the level of poverty in the school district can be described by all four of the following conditions:

1. 75% of all the students in the participating school(s) with a seventh grade in the Partnership are eligible for free and reduced-priced lunch; and
2. 50% of all the students in the participating local education agency (LEA) in which the participating school(s) is located are eligible for free or reduced-price lunch; and
3. The participating LEA in which 50% of all the students are eligible for free or reduced-price lunch is the Partnership’s designated fiscal agent; and
4. The Partnership has three or fewer IHEs as members.

Alternatively, the applicant can apply for a waiver if all four of the following conditions are met

1. 75% of all the students in the participating school(s) with a seventh grade in the Partnership are eligible for free and reduced-priced lunch; and
2. 50% of all the students in the participating local education agency (LEA) in which the participating school(s) is located are eligible for free or reduced-price lunch; and

3. The Partnership's designated fiscal agent is a Historically Black College or University (HBCU), a Hispanic Serving Institution (HSI), a Tribally Controlled College or University (TCCU), a Native Hawaiian Serving Institution (NHSI) or an Alaska Native Serving Institution (ANSI) under Title V or Part B of Title III or section 316 or 317 of the HEA; and
4. The Partnership has three or fewer IHEs as members.

If an applicant meets either of these sets of conditions, a waiver for the minimum non-Federal contribution of the Partnership may be allowed. Under no circumstances will the match be lower than 30% of the total cost of the project.

NOTE: The rationale for this reduced minimum non-Federal contribution is to provide those Partnerships that may lack the resources to meet the minimum 50% non-Federal contribution the ability to compete for a GEAR UP grant. Applicants that meet the above cited criteria for this exception, but who have the resources (in cash and/or in kind) to make the greater non-Federal contribution, may not wish to propose a reduced match if they are concerned that it may diminish the quality of services they can provide GEAR UP participants. The technical merit of submitted grant applications will be based solely on the published review criteria.

WHAT YOU CAN DO

EXAMPLES OF ACTIVITIES THAT MAY HELP SATISFY THE REQUIREMENTS OF AN EARLY INTERVENTION PROGRAM ARE:

- Providing a continuous system of mentoring, advising, counseling, and tutoring.
- Establish or make more effective use of information resources including providing information about higher education options, required academic courses, and financial aid.
- Ensuring student access to rigorous courses that help prepare them for college.
- Providing staff development such as training and in-service programs for teachers, tutors, guidance counselors, and other school staff.
- Fostering parental involvement in preparing students for college.
- Providing personal counseling to students, family counseling, and home visits.
- Conducting early college training for partners.
- Providing for student and parent visits to college campuses.
- Operating summer and year-round programs at institutions of higher education that provide exposure to college campuses and courses, and financial assistance to cover summer costs of books, supplies, living expenses, and personal expenses.
- Providing school activities that promote student achievement and college preparation.
- Assisting students in obtaining summer jobs, career mentoring, and academic counseling.
- Providing skills assessments and tutoring and other services to improve academic achievement.
- Providing services that are especially designed for limited English-proficient students.
- Providing summer instruction in remedial, developmental or supportive courses.
- Requiring each student to enter into an agreement to achieve certain academic milestones in exchange for tuition assistance.

SELECTION CRITERIA FOR PARTNERSHIP GRANTS

The Secretary considers six criteria drawn from the Education Department General Administrative Regulations (EDGAR): (1) the need for the project; (2) the quality of project services; (3) the quality of project personnel; (4) the quality of the management plan; (5) the quality of the project evaluation; and, (6) the adequacy of project resources. The Secretary evaluates each criterion equally and, within each criterion, each factors equally.

1. NEED FOR THE PROJECT (15 POINTS):

In determining the need of the proposed project, the Secretary considers the following factors:

- The magnitude or severity of the problem to be addressed by the proposed project.
- The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weakness.
- The long-term and systemic effects likely to be achieved by the project and their importance.

Suggestions for Applicants:

A requirement for this grant is providing measurable data to provide benchmarks that indicate the progress of the grant. Areas to address include baseline characteristics of the school population, the programs and services currently available, and the ordinary indicators of success in the school, such as graduation rate, performance on standardized tests, attendance patterns, etc., to demonstrate accountability for the program activities. In judging responses to this criterion, reviewers will be seeking descriptions of student perceptions and academic achievement in key areas that must be improved or changed if students are to raise their aspirations, stay in school, study hard, take the right courses, and go to college. Similarly, reviewers will look for pertinent information about the parents of these students that impacts on student educational achievement, attainment, expectations, and aspirations. Of equal importance will be descriptions of specific gaps or weaknesses in the current program, services, infrastructure, or opportunities that hinder achievement and attainment of these students, including gender-specific information (and also programs and services for parents). School-based and locally collected data that reinforce the descriptions of need of the students and their parents for programs would be especially helpful to reviewers in understanding the need. These data may later serve as baselines against which to judge the magnitude of project impact.

2. QUALITY OF PROJECT SERVICES (25 POINTS):

In determining the quality of project services provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

- The extent to which the project services are appropriate to the needs of the intended recipients or beneficiaries of those services.
- The extent to which the project services reflect up-to-date research and knowledge of effective practices.
- The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.
- The likely impact of the project services on the intended recipients of those services.

Suggestions for Applicants:

Reviewers will seek a compelling argument for what is proposed with respect to the needs the applicant has specified under criterion 1 and the project's intended outcomes. It is likely that reviewers will not consider the mere enumeration of project activities an adequate response to this criterion. We recommend that the applicant provide a description of the proposed project in sufficient detail for reviewers to judge its quality and its merits for realizing the project's objectives and goals. Such a description would include: a rationale, firmly grounded on sound research and best practice, for what is proposed (pertinent citations of the literature are encouraged); a discussion of the program and services that will be provided to meet the needs through the 12th grade (including the provision of scholarships, if appropriate, as well as the role of ongoing staff training and professional development, and systemic reform, will have on program improvement and the sustainability of the project beyond the life of the grant); and, a delineation of the project's specific objectives and goals (including academic achievement as measured against rigorous academic standards). How the 21st Century Scholar Certificates will be incorporated into the project would also be part of the description as well as how the project would strengthen reforms and school improvement efforts in the State and local district. Reviewers will also be looking for how the various parts of the project fit together and complement each other and how the described services will be coordinated with, and complement and enhance other GEAR UP efforts or related Federal and non-Federal programs serving the same school district or State. Finally, applicants are reminded that reviewers will judge proposed strategies for providing GEAR UP services to all students in a participating grade(s), including students with diverse racial, ethnic, or cultural backgrounds, students with limited-English proficiency, and students with disabilities.

3. QUALITY OF PROJECT PERSONNEL (15 POINTS):

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability. In addition, the Secretary considers the following factors:

- The qualifications, including relevant training and experience, of the project director.
- The qualifications, including relevant training and experience of key personnel.

Suggestions for Applicants:

Applicants have the burden of persuasively supporting the individuals who will have critical project roles. Do not rely on the reviewers to compile a case for the proposed individuals by searching through appended personnel vitae for pertinent training and experiences. In responding to this criterion, applicants are encouraged to begin with a rationale and short description of the kind and number of personnel — in terms of background, training, and experience — needed to meet the project's objectives and make it a success. (In determining the kinds and number of personnel assigned to the GEAR UP project, applicants might consider that, if these individuals are critical to the success of the GEAR UP project under Federal funding, they will probably be critical to sustaining the project after Federal funding ends.) Following this, we recommend that applicants provide the names and brief descriptions of the qualifications of the proposed project coordinator and the project director and other key personnel (preferably about a half page for each, but no more than one page) and the time to be committed by each member of the partnership. These descriptions should focus on the pertinent qualifications that best demonstrate that the proposed personnel can reasonably be expected to make the project a success. In the event that the project coordinator or some other key personnel

has yet to be identified, then the descriptions of the qualifications sought for each of these “to be hired” personnel should be delineated. Again, these “qualifications sought” should be critical to project success.

4. QUALITY OF THE MANAGEMENT PLAN (15 POINTS):

In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

- The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
- The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.
- The extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

Suggestions for Applicants:

In responding to this criterion, applicants are encouraged to provide a narrative that clearly describes the objectives with respect to the management plan with a well-defined rationale, set of procedures, staff responsibilities and time commitments. An accompanying chart organized by project objectives that displays timelines for activities and events directly related to the objectives, with milestones clearly identified is desirable. The inclusion of a personnel chart is also encouraged that provides the amount of time each proposed staff member will devote to a given activity. In addition to describing management procedures to insure that proposed activities and tasks will be accomplished on time and within budget, we recommend that applicants pay particular attention to how information will be collected (both from evaluation data as well as from staff, students, parents, teachers, partners, etc.), communicated, and used for program improvement on an ongoing basis. Applicants are reminded that Partnership projects are required to have a full-time coordinator. Under special, approved conditions, a part-time coordinator whose primary responsibility is the GEAR UP project may be allowed.

5. QUALITY OF THE PROJECT EVALUATION (15 POINTS):

In determining the quality of the project evaluation, the Secretary considers the following factors:

- The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
- The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Suggestions for Applicants:

Partnerships must be committed to continually measuring the progress of students and the impact of resources and services provided. Reviewers will seek a description of an evaluation plan that: has a compelling rationale for the particular approach; is technically sound; is clearly tied to the project’s goals and is measurable preferably in quantifiable terms; and provides for both periodic and summative evaluation. Since continuous improvement must be demonstrated as a result of the project, it is essential that good baseline data should appear in the proposal to lend support to the needs while providing the basis for the continuous process of measuring improvement. Applicants are encouraged to be particularly careful to use objective performance measures and to connect the project evaluation to the needs described under criterion one.

6. ADEQUACY OF RESOURCES (15 POINTS):

In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

- The adequacy of support, including facilities, equipment, supplies and other resources, from the applicant organization or the lead applicant organization.
- The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.
- The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

Suggestions for Applicants:

Support facilities should be clearly aligned and it should be clear that they have been carefully coordinated in an effort to supply services. Applicants are encouraged to provide a clear description of the potential contribution that each Partnership member will make to the project and the ways in which they will collaborate to meet the project's goals. Applicants are also encouraged to describe the Partnership's level of commitment and plans to continue the work of the project beyond the term of the funded grant.

COMPETITIVE PREFERENCE PRIORITY #1

The Secretary will give preference to Partnership projects that establish or maintain financial assistance programs that award scholarships to participating students, either in accordance with section 404E of the Higher Education Act of 1965, as amended, or in accordance with GEAR UP regulations. The Secretary will award up to five (5) additional points, in addition to any points the applicant earns under the selection criteria, to applicants who meet this priority, depending on how well the application meets the priority

Suggestions for Applicants:

Should an applicant choose, scholarships may be included as part of its GEAR UP program. If scholarships are included in the application, reviewers will look for a description of the scholarship provision and a specification of whether it will follow the guidelines for State GEAR UP grants (i.e., through a "Scholarship Component"), or if it is directly related to the early college preparation and awareness activities (i.e., through the "Early Intervention Component"). In either case, applicants are encouraged to demonstrate the extent to which the scholarships would be an integral part of the proposed project services, the basis for their award to students, and how the provision of scholarships will enhance or further ensure the intended project outcomes.

COMPETITIVE PREFERENCE PRIORITY #2:

The Secretary will give preference to Partnership applications that will serve a substantial number or percentage of students who reside or attend a school in an Empowerment Zone, including a Supplemental Empowerment Zone, or an Enterprise Community designated by the U.S. Department of Housing and Urban Development or the U.S. Department of Agriculture. The Secretary will select an application that meets this competitive preference over an application of comparable merit that does not, as expressed in Education Department General Regulations (EDGAR, 34 CFR Part 75.105), but only as a tie-breaker.

Suggestions for Applicants:

If an applicant is eligible for this competitive preference, we suggest that it make a simple declaration to that effect and provide clear documentation of how it meets any of the necessary requirements under competitive priority #2.

STATE GRANTS PROGRAM OVERVIEW

State GEAR UP grants are competitive five-year matching grants that must include both an *early intervention component* and a *scholarship component*. Under the early intervention component, the project will provide early college awareness and preparation activities for participating students through comprehensive mentoring, counseling, outreach, and supportive service. Under the scholarship component, the project will establish or maintain a financial assistance program that awards scholarships to eligible students so that they may attend an institution of higher education. Although State grants have no minimum amount, for this year's competition there is a \$2.5 million annual maximum award. The non-Federal contribution for these grants must at least match the Federal contribution, that is, the non-Federal contribution must equal at least 50% of the total five-year project cost. This non-Federal match may be met through cash or in-kind contributions. There is no waiver for the State grant match commitment.

WHO CAN APPLY?

The Governor of a State designates which State agency applies for and administers the State grant, though a State may opt to have more than one entity deliver the services and is encouraged to ensure strong collaboration between K-12 and higher education agencies. College preparation and awareness activities may be provided by service providers such as community-based organizations, schools, institutions of higher education, public and private agencies, nonprofit and philanthropic organizations, businesses, institutions and agencies sponsoring programs authorized under subpart 4 of Part A of Title IV of the Higher Education Act of 1965 (the Leveraging Education Assistance Partnership (LEAP) Program), and other organizations the State may deem appropriate. State projects must include both an *early intervention component*, under which a GEAR UP project provides early college awareness and preparation activities for participating students through comprehensive mentoring, counseling, outreach and supportive services and a *scholarship component*, under which it establishes or maintains a financial assistance program that awards scholarships to eligible students so that they may attend institutions of higher education.

States are encouraged to involve their top leadership in planning, coordinating, and implementing GEAR UP State projects; to give appropriate attention to the State's academic reforms and higher education standards, and make them an integral part of the project's college readiness efforts; to use State, college, and university resources wisely, as part of the State's project and in cooperation with the Partnership projects within the State; and to demonstrate fiscal commitment beyond what is already being spent on these kinds of activities.

Cooperation and commitment are just as much a part of a GEAR UP State project as a Partnership project. Similarly, each participating organization in a State project will want to be clear about its particular contribution and how that contribution will coordinate with other related efforts and resources.

WHAT THE STATE PROGRAM MUST DO

STATE GRANTS MUST INCLUDE:

- *An early intervention component*, including early college awareness and preparation activities through comprehensive mentoring, counseling, outreach, and supportive services; academic counseling and support.
- *A scholarship component*, which establishes or maintains a financial assistance program of renewable scholarships for eligible GEAR UP students.

Under this grant, States are required to:

- Spend at least 25 percent and not more than 50 percent of their grant funds on the early college awareness and preparation component of their program.
- Spend at least 50 percent of their state grant funds on the scholarship component. *The Secretary may waive this percentage requirement if the grantee demonstrates that it has another means of providing the students with financial assistance.*
- Ensure that its activities are coordinated with other potential GEAR UP projects, serving the same school district or State, as well as with other related Federal and non-Federal programs. Applicants are encouraged to maximize the coordination of their GEAR UP project with other GEAR UP projects.

The Governor of a State designates which State agency applies for and administers the State grant, even though a State may opt to have more than one entity deliver the services. College preparation and awareness activities may be provided by service providers such as community based organizations, schools, institutions of higher education, public and private agencies, nonprofit and philanthropic organizations, businesses, institutions and agencies sponsoring programs authorized under subpart 4 of Part A of Title IV of the Higher Education Act of 1965 (the Leveraging Educational Assistance Partnerships (LEAP) Program), and other organizations the State may deem appropriate. A State must target its early intervention services to “priority students” or, if it chooses, may use a whole-grade (cohort) approach. A State that includes multiple projects in its application may, if it wishes, use the “priority student” approach in some projects and the cohort approach in others.

States which target early intervention services to *priority students* must target students in preschool through 12th grade who are eligible:

1. To be counted under section 1124(c) of the Elementary and Secondary Education Act of 1965 (Title I);
2. For free or reduced-price meals under the National School Lunch Act; or
3. For assistance under Temporary Assistance for Needy Families (TANF), authorized by Title I of the Personal Responsibility and Work Opportunity

Reconciliation Act of 1996

While such State projects must target their early intervention services on priority students, they may also serve other students who are at risk of dropping out of school. A State that opts for a *cohort* must provide services to *all* students in the participating grade levels at a school, rather than a selected group of students. Services must be provided to a cohort starting no later than the 7th grade and continuing through high school. Each cohort must include either: a) all the students in a particular grade level(s) at a participating school(s) that has a 7th grade and in which at least 50% of the students are eligible for free or reduced-price lunch under the National School Lunch Act; or b) all the students in a particular grade level(s) who reside in public housing, as defined

in section 3(b)(1) of the United States Housing Act of 1937. State grant applicants that choose to use the cohort approach must provide services to all students in the participating “cohort” until that grade level moves on to the next school — for example, moving from middle school to high school. New students at the same grade level as the students in the GEAR UP cohort, who enroll in the school in which the cohort began to receive services, must be considered a part of the cohort and provided GEAR UP services as well. Those students who leave the cohort by transferring to a school that is not participating in GEAR UP, for example, may continue to receive GEAR UP services, but are not required to be served.

Once the cohort moves on to another school (for example, moving from middle school to high school), a GEAR UP project must continue to provide services to at least those students in the cohort that attend participating secondary schools that enroll a *substantial majority* of the students in the cohort. However, a GEAR UP project is not required to follow individual students regardless of which school they attend. To fulfill the **early intervention component** of a State GEAR UP grant, States are required to provide early college preparation and awareness services through comprehensive mentoring, counseling — including financial aid counseling and information about opportunities for Federal financial aid; and activities and information regarding fostering and improving parent involvement in preparing students for college, college admissions and achievement tests, and college application procedures — outreach, and supportive services for participating students.

States are encouraged to involve their top leadership in planning, coordinating, and implementing GEAR UP State projects and to give appropriate attention to the State’s academic reforms and higher academic standards. Making the issues of school reform and standards an integral part of the project’s college readiness efforts is essential. The State grant should use State, college, and university resources wisely, as part of the State’s project and in cooperation with Partnership projects. Each participating organization in a GEAR UP State project will want to be clear about its particular contribution and how that contribution will coordinate with other related efforts and resources.

To fulfill the scholarship component of a State GEAR UP grant, States are required by law to provide scholarships to participating students in the following ways:

- At least 50% of State grant funds must be spent on the Scholarship Component. *The Secretary may waive this percentage requirement if the grantee demonstrates that it has another means of providing the students with financial assistance.*
- To receive a GEAR UP Scholarship, an eligible student must be less than 22 years of age at time of first scholarship award; have received a secondary school diploma or its recognized equivalent on or after January 1, 1993; be enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education that is located within the State’s boundaries. (*Exception – the state has the option of offering a “portable” scholarship program that allows the participating students to use their scholarships to attend an institution of higher education outside of their State*); and have successfully participated in the early intervention component of a GEAR UP or National Early Intervention Scholarship and Partnership (NEISP) project or have participated in a Federal TRIO Program.
- A priority must be placed on awarding scholarships to students *eligible* to receive a Federal Pell Grant for the same academic year. GEAR UP scholarships are designed to supplement, not supplant, other scholarship funding.

- Individual States may determine the maximum amount of an eligible student's scholarship but the *minimum* amount of a scholarship *must not* be less than the lesser of 75% of the average cost of attendance for an in-State student, in a four-year program of instruction, at public institutions in their State; or the maximum Federal Pell Grant for such fiscal year.

DEVELOP MATCHING COMMITMENTS

Federal funds shall provide not more than 50 percent of the total cost of any project funded by a grant under this program. There is no waiver for State matching requirements.

The non-Federal share of project costs may be in cash or in kind, fairly valued, including services, supplies, or equipment.

This grant program encourages the leveraging of grantee resources, and investments and contributions from the private and public sectors. Subject to some exceptions, the total of non-Federal commitments made by States and local Partnership members and the value of private sector investments and donations may be included in the match. It is particularly important that these matching commitments contribute to the long-term sustainability of the project after the grant's funding ends.

In determining the adequacy of resources under the selection criteria for grants, applications will be evaluated on the relevance and demonstrated commitment of each partner in the proposed project and the potential for continued support of the project after Federal funding ends.

All grant recipients are limited to a maximum indirect cost rate of eight (8) percent of a modified total direct cost base or the amount permitted by its negotiated indirect cost rate agreement, whichever is less.

WHAT THE STATE CAN DO

EXAMPLES OF ACTIVITIES IN THE EARLY INTERVENTION COMPONENT ARE:

- Providing a continuous system of mentoring, advising, counseling, and tutoring.
- Providing information about higher education options, required academic courses, and financial aid.
- Ensuring student access to rigorous college preparatory courses.
- Providing staff development such as training and in-service programs for teachers, tutors, guidance counselors, and other school staff.
- Organizing activities to foster parental involvement in preparing students for college.
- Providing assistance in obtaining summer jobs, career mentoring, and academic counseling.
- Providing personal counseling to students, family counseling, and home visits.
- Conducting early college awareness training for partners.
- Visiting college campuses.
- Operating summer and year-round programs at institutions of higher education that provide exposure and orientation to college campuses and courses, and providing financial assistance to cover summer costs for books, supplies, living expenses, and personal expenses.
- Providing after school activities that promote student achievement and college preparation.
- Administering skills assessments and providing tutoring and other services to improve student achievement.
- Providing services that are specially designed for students of limited English proficiency.
- Providing summer instruction in remedial, developmental, or supportive courses.
- Requiring each student to enter into an agreement to achieve certain academic milestones in exchange for tuition assistance.

States are encouraged to emphasize in-school activities and supplement these activities with services that strengthen the core program, such as after school and summer activities.

SELECTION CRITERIA FOR STATE GRANTS

The Secretary considers six criteria drawn from the Education Department General Administrative Regulations (EDGAR): (1) the need for the project; (2) the quality of project services; (3) the quality of project personnel; (4) the quality of the management plan; (5) the quality of the project evaluation; and, (6) the adequacy of project resources. The Secretary evaluates each criterion equally and, within each criterion, each factors equally.

1. NEED FOR THE PROJECT (15 POINTS):

In determining the need of the proposed project, the Secretary considers the following factors:

- The magnitude or severity of the problem to be addressed by the proposed project.
- The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weakness.

Suggestions for Applicants:

A requirement for this grant is providing measurable data to provide benchmarks that indicate the progress of the grant. Areas to address include baseline characteristics of the school population, the programs and services currently available, and the ordinary indicators of success in the school, such as graduation rate, performance on standardized tests, attendance patterns and the like. In judging responses to this criterion, reviewers will be seeking descriptions of student perceptions and academic achievement in key areas that must be improved or changed if students are to raise their aspirations, stay in school, study hard, take the right courses, and go to college. Similarly, reviewers will look for pertinent information about the parents of these students that impacts on student educational achievement, attainment, expectations, and aspirations. Of equal importance will be descriptions of specific gaps or weaknesses in the current program, services, infrastructure, or opportunities that hinder achievement and attainment of these students, including gender-specific information (and also programs and services for parents).

If a cohort-based early intervention component will be used, school-based and locally collected data that undergird the descriptions of students and their parents would be especially helpful to reviewers in understanding the need. Also useful would be some rationale on why the particular districts and schools were selected for GEAR UP services. If a non-cohort approach will be used to early intervention, the descriptions of the beneficiaries of the project services may be based on appropriate State or local student and parent data. Whether a cohort-based approach is used or not, these kinds of baseline data may be used later to judge the magnitude of project impact.

2. QUALITY OF PROJECT SERVICES (25 POINTS):

In determining the quality of project services provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers the following factors:

- The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.
- The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice.
- The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.
- The long-term and systemic effects of the services to be provided by the proposed project on the intended recipients of those services.

Suggestions for Applicants:

Reviewers will seek a compelling argument for what is proposed tied to the needs specified under criterion 1 and the project's intended outcomes. It is likely that reviewers will not consider the mere enumeration of project activities an adequate response to this criterion. We recommend that the applicant provide a description of the proposed project in sufficient detail for reviewers to judge its quality and its merits for realizing the project's objectives and goals. The description should include: a rationale, firmly grounded in sound research and best practice, for what is proposed (pertinent citations of the literature are encouraged); a discussion of the program and services that will be provided to meet the needs (including a renewable scholarship component, as well as the role that ongoing staff training and professional development, and systemic reform will have on program improvement and the sustainability of the project beyond the life of the grant); and, a delineation of the project's specific objectives and goals (including academic achievement as measured against rigorous academic standards). How the 21st Century Scholar Certificates will be incorporated into the project would also be part of the description as well as how the project would build on any ongoing reforms and school improvement efforts in the State or local districts. Reviewers will also be looking for how the various parts of the project fit together and complement each other and how the described services will be coordinated with, and complement and enhance other GEAR UP efforts or related Federal and non-Federal programs within the State.

Applicants are reminded that, if a cohort model is used for the early intervention component, GEAR UP services must be provided to all students in the participating grade level(s) and services must be provided to the students in the cohort(s) through the 12th grade. Finally, applicants are reminded that no matter the approach, reviewers will judge proposed strategies for providing students equal access to GEAR UP services, including students with diverse racial, ethnic, or cultural backgrounds, students with limited-English proficiency, and students with disabilities.

3. QUALITY OF PROJECT PERSONNEL (15 POINTS):

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability. In addition, the Secretary considers the following factors:

- The qualifications, including relevant training and experience, of the project director.
- The qualifications, including relevant training and experience of key personnel.

Suggestions for Applicants:

The point here is for applicants to make the case for the individuals who will serve in critical project roles, not to rely on the reviewers to make the case for the proposed individuals by searching through appended vitae for pertinent training and experiences. In responding to this criterion, applicants are encouraged to begin with a rationale and short description of the kind and number of personnel — in terms of background, training, and experience — needed to meet the project's objectives and make it a success. (In determining the kinds and number of personnel assigned to the GEAR UP project, applicants might consider that, if these individuals will be critical to the success of the GEAR UP project under Federal funding, they will probably be critical to sustaining the project after Federal funding ends.) Following this, we recommend that applicants provide the names and brief descriptions of the qualifications of the proposed Project Director and other key personnel (preferably about a half page for each, but no more than one page). These descriptions should focus on those qualifications that are particularly pertinent to the roles that the proposed personnel will play in making the project a success. In the event that the Project Director or some other key personnel has yet to be identified, then the descriptions of the qualifications sought for each of these "to be hired" personnel should be delineated. Again, these "qualifications sought" should be critical to project success.

4. QUALITY OF THE MANAGEMENT PLAN (15 POINTS):

In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

- The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.
- The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.
- The extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

Suggestions for Applicants:

In responding to this criterion, applicants are encouraged to provide a narrative that clearly describes the management plan with its rationale, procedures, staff responsibilities and time commitments. An accompanying chart organized by project objectives that displays timelines for activities and events directly related to the objectives, with milestones clearly identified is desirable. The inclusion of a personnel chart is also encouraged that provides the amount of time each proposed staff member will devote to a given activity. In addition to describing management procedures to insure that proposed activities and tasks will be accomplished on time and within budget, we recommend that applicants pay particular attention to how information will be culled (both from evaluation data as well as from staff, students, parents, teachers, etc.), communicated, and used for program improvement on an ongoing basis.

5. QUALITY OF THE PROJECT EVALUATION (15 POINTS):

In determining the quality of the project evaluation, the Secretary considers the following factors:

- The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
- The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

Suggestions for Applicants:

States must be committed to continually measuring the progress of students and the impact of resources and services provided. Reviewers will seek a description of an evaluation plan, that: has a compelling rationale for the particular approach; is technically sound; is clearly tied to the project's goals and is measurable preferably in quantifiable terms; and provides for both periodic and summative evaluation. Since continuous improvement must be demonstrated as a result of the project, it is essential that good baseline data should appear in the proposal to lend support to the needs while providing the basis for the continuous process of measuring improvement. Applicants are encouraged to be particularly careful to use objective performance measures and to connect the project evaluation to the needs described under criterion 1.

6. ADEQUACY OF RESOURCES (15 POINTS):

In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

- The adequacy of support, including facilities, equipment, supplies and other resources, from the applicant organization or the lead applicant organization.
- The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
- The extent to which the costs are reasonable in relation to the number of persons to be served and the anticipated results and benefits.
- The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

Suggestions for Applicants:

Even though the Governor of a State designates which State agency applies for and administers the grant, a State is likely to partner with at least one other entity (governmental and/or non-governmental) to deliver the services. In proposing the various entities that will work together to make the project a success, a State must take care to select entities to accomplish specific objectives of the proposed program and coordinate the delivery of services. Moreover, the ultimate success of a GEAR UP project will be an effort that continues beyond Federal funding. Applicants are encouraged to demonstrate the extent of their proposed capacity-building and provide a clear description of how each entity will contribute. Applicants are also encouraged to describe its level of commitment and plans to continue the work of the project beyond the term of the funded grant.

COMPETITIVE PREFERENCE PRIORITY:

The Secretary will give preference to State grant applications that will serve a substantial number or percentage of students who reside or attend a school in an Empowerment Zone, including a Supplemental Empowerment Zone, or an Enterprise Community designated by the U.S. Department of Housing and Urban Development or the U.S. Department of Agriculture. The Secretary will select an application that meets this competitive preference over an application of comparable merit that does not, as expressed in Education Department General Regulations (EDGAR, 34 CFR Part 75.105), but only as a tie-breaker.

Suggestions for Applicants:

If an applicant is eligible for this competitive preference, we suggest that it make a simple declaration to that effect and provide clear documentation of how it meets any of the necessary requirements under this competitive priority.

HOW TO APPLY

Application deadline date: March 30, 2001

Each submission should be concise and clearly written. Each submission should include the five sections of the Application and the sections of the Appendix listed here.

The Application

Each application should have the following five sections:

1. **Title Page:** Use the title page form included in these guidelines to cover each application copy.
2. **Table of Contents:** Include a one-page table of contents.
3. **Abstract:** Attach a one-page, **double-spaced** abstract following the Title Page (this is in addition to the abstract requested on the Title Page itself). The abstract should mention the need being addressed, the proposed activities, and the intended outcomes.
4. **Narrative:** A narrative of no more than 40 double-spaced pages for GEAR UP Grants, printed in 12-point font or larger, should address each of the published selection criteria in turn (including any applicable Competitive Priority). As a guide for reviewers, applicants are encouraged to label each section in the narrative by its associated criterion. A page is 8.5 inches X 11 inches, on one side only, with 1-inch margins at the top, bottom, and both sides. Double space all text in the application narrative, including titles, headings, footnote, quotations, references, and captions, as well as all text in charts, tables, figures and graphs. The page limits do not apply to the Title Page Form (OMB No. 1840-0740), the Budget Information — Non construction Programs Form (ED 524), including the itemized budget; the other application forms; the assurances and certifications; or the table of contents, the resumes, or letters of support. If more than 40 pages appear in the narrative, the excess starting with page 41 will not be considered.
5. **Budget:** Use the attached Budget Summary form to present a complete budget summary for each year of grant funding. Please provide a justification for this budget by including, **for each year**, a narrative for each budget line item, which explains: (1) the basis for estimating the costs of professional personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any projected expenditures; (2) how the major cost items relate to the proposed activities; (3) the costs of evaluation; and (4) a detailed description explaining the matching resources provided by members of the Partnership. Please include travel funds to two workshops each year of the project. Each trip will be for two days for up to four persons paid for out of project funds. At these meetings each Grant recipient will have an opportunity to strengthen its efforts by collaborating with other grantees funded in this program and receive technical assistance from U.S. Department of Education personnel. Applicants are reminded that GEAR UP funds must be used to supplement, **not supplant**, funds for existing programs.

The Appendix

An appendix that includes the following numbered sections should accompany each application:

FOR PARTNERSHIP GRANTS

- 1. APPLICANT ORGANIZATION IDENTIFICATION FORM AND COST SHARE WORKSHEET:** The support, contribution, and commitment of the partner serving as the grant Applicant should be described clearly within the narrative. Additionally, include in this section of the appendix, an Applicant Organization Identification Form and Cost Share Worksheet to clearly document the role and contribution of the Partnership's Applicant Organization.
- 2. PARTNER IDENTIFICATION FORM AND COST SHARE WORKSHEET:** The support, contributions, and commitment of each partner should be described clearly within the narrative. Additionally, include in this section of the appendix, a Partner Identification Form and Cost Share Worksheet for each member of the Partnership, other than the Lead Partner, to clearly document the role and contribution of each partner.
- 3. DOCUMENTATION OF STUDENT ELIGIBILITY FOR FREE AND REDUCED-PRICED LUNCH:** By statute, Partnerships using a school-based cohort design (as opposed to a public housing cohort) must serve all the students in a particular grade level(s) at the participating school(s) that has a 7th grade and in which *at least 50% of the students are eligible for free or reduced-priced lunch under the National School Lunch Act*. Partnership applicants who will use a school-based cohort design must provide documentation in this section that the 50% requirement of student eligibility for "free or reduced-priced lunch" in participating schools has been met.
- 4.** If the Partnership applicant believes it meets the requirements for a reduced non-Federal match (as low as 30% of the total project cost) and wishes to exercise that option, it must provide documentation in this section that its student cohort(s) is in a participating school(s) in which *at least 75% of the students are eligible for free or reduced-priced lunch under the National School Lunch Act*. **And**, the participating school(s) is in a school district(s) in which *at least 50% of the students are eligible for free and reduced-priced lunch under the National School Lunch Act*.
- 5. EQUITABLE ACCESS AND PARTICIPATION:** Section 427 of the General Education Provisions Act (GEPA) requires each applicant to include in its application a description of proposed steps to ensure equitable access to, and participation in, its Federally-assisted program. Each application should include this description in a clearly identified section of the appendix. The statute, which allows applicants discretion in developing the required description, highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. You may use local circumstances to determine the extent to which these or other barriers prevent equitable participation by students, teachers, parents or other community members. Your description need not be lengthy, but it should include a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances, and it should support the discussion of similar issues in the narrative section of the application.

6. **ED 80-0013, CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS:** This combination form is attached. Applicants should refer to the regulations cited in each section of the form to determine the certification to which they are required to attest.
7. **STANDARD FORM SF424B, ASSURANCES-NON-CONSTRUCTION PROGRAM:** This form is attached. Applicants should read each section of the form to determine which of the assurances apply to the project.
8. **STANDARD FORM LLL, DISCLOSURE OF LOBBYING ACTIVITIES:** This form is attached. Applicants should read the accompanying directions before filling out this form.
9. **ED 80-0014 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION, LOWER-TIER COVERED TRANSACTIONS:** This form is attached. Applicants should read the accompanying directions before filling out this form.

FOR STATE GRANTS

1. **LETTER FROM THE GOVERNOR:** The Governor of a State must designate in writing which State agency is the applicant for, and will administer, the State grant, even though a State may opt to have more than one entity deliver the services. Each applicant should include a letter under this section, on official State letterhead and signed by the Governor, designating the State's applicant agency (Applicant Organization).
2. **REQUEST FOR WAIVER:** By statute, a State must use at least 50% of grant funds received on its "Scholarship Component", except that the Secretary may waive the 50% percent limitation if the eligible entity has another means of providing students with financial assistance as described in its plan for carrying out the program. State applicants who are seeking such a waiver from the Secretary should submit their request as section 2 of the Application Appendix. The rationale for the waiver sought should be clearly stated. If a State applicant does *not* seek a waiver, section 2 of the Application Appendix *should still be submitted* with the statement, "NO WAIVER SOUGHT".
3. **EQUITABLE ACCESS AND PARTICIPATION:** Section 427 of the General Education Provisions Act (GEPA) requires each applicant to include in its application a description of proposed steps to ensure equitable access to, and participation in, its Federally-assisted program. Each application should include this description in a clearly identified section of the appendix. The statute, which allows applicants discretion in developing the required description, highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. You may use local circumstances to determine the extent to which these or other barriers prevent equitable participation by students, teachers, parents or other community members. Your description need not be lengthy, but it should include a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances, and it should support the discussion of similar issues in the narrative section of the application.
4. **ED 80-0014 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER-TIER COVERED TRANSACTIONS:** This form is attached. Applicants should read the accompanying directions before filling out this form.

5. **ED 80-0013, CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS:** This combination form is provided as part of this application package. Applicants should refer to the regulations cited in each section of the form to determine the certification to which they are required to attest.
6. **STANDARD FORM SF424B, ASSURANCES-NON-CONSTRUCTION PROGRAMS:** This form is attached. Applicants should read each section of the form to determine which of the assurances apply to the project.
7. **STANDARD FORM LLL, DISCLOSURE OF LOBBYING ACTIVITIES:** This form is attached. Applicants should read the accompanying directions before filling out this form.

Other Attachments

Other attachments are not encouraged. Reviewers will have a limited time to read each application. Their consideration of the application against the selection criteria will be limited to the five sections of the Application and the eight sections of the Appendix listed above. Supplementary materials such as videotapes, CD-ROMs, files on disks, commercial publications, press clippings, testimonial letters, etc., will not be reviewed and will not be returned to the applicant.

Proprietary Information

Applications may contain innovative technical or business ideas that, if released to the public, could reasonably be expected to cause substantial competitive harm to the consortium member that submitted that information. Bold legends clearly identifying information that a consortium member believes is of a proprietary nature should appear at the top and bottom of each page on which it appears. The U.S. Department of Education will take this designation into account in determining whether this information can be released in response to a Freedom of Information Act request.

HOW TO SUBMIT APPLICATIONS

THE DEADLINE FOR APPLICATIONS IS MARCH 30, 2001. ALL APPLICATIONS MUST BE RECEIVED OR POSTMARKED ON OR BEFORE THAT DATE. This closing date and procedures for guaranteeing timely submission will be strictly observed.

Number Of Copies of the Application

All applicants are required to submit one (1) signed original and two (2) copies of the application (including one unbound copy suitable for photocopying). Each copy of the application must be covered with a Title Page (form included in these guidelines) or a reasonable facsimile. All applicants are encouraged to submit voluntarily an additional four (4) copies of the application with title page to expedite the review process. The GEAR UP office is also piloting an Internet based process to collect information provided on the forms. This voluntary submission is described in the Forms section. The absence of the additional copies and/or the electronic forms submission will not influence the selection process. **All sections of the application and all sections of the appendix must be suitable for photocopying to be included in the review (at least one copy of the application should be unbound and suitable for photocopying).**

MAILING ADDRESS, AND ADDRESS FOR APPLICATIONS SENT BY COMMERCIAL CARRIER

Gaining Early Awareness and Readiness for Undergraduate Programs
ATTN: 84.334A
U.S. Department of Education
Application Control Center
Regional Office Building-3, Room 3633
7th & D Streets, S.W. (D Street, S.W. Entrance)
Washington, D.C. 20202-4725
Telephone: 202-708-8493

Applications sent by mail must be postmarked no later than March 30, 2001. Applications not received by the deadline date will not be considered for funding unless the applicant can show proof that the application was (1) sent by registered or certified mail on or before the deadline date; or (2) sent by a commercial carrier not later than two (2) days before the deadline date. The following are acceptable as proof of mailing: (1) a legibly dated U.S. Postal Service postmark, (2) a legible mail receipt with the date of mailing stamped by the U.S. Postal Service, (3) a dated shipping label, invoice, or receipt from a commercial carrier, or (4) any other proof of mailing acceptable to the Secretary.

Applications delivered by hand before the deadline date will be accepted daily between the hours of 8:00 A.M. and 4:30 P.M., Eastern Time except Saturdays, Sundays, or Federal holidays at the U.S. Department of Education, Application Control Center, Regional Office Building-3, Room 3633, 7th and D Streets (D Street, S.W. Entrance), S.W., Washington, D.C. (Telephone: 202-708-8493). **Applications delivered by hand on March 30, 2001 (the due date) will not be accepted after 4:30 P.M., Eastern Time.**

Notification of Award

Applicants will be notified on or around July 16, 2001 whether their application is being funded.

Assurances and Certifications

Applications selected for funding will require a signed Form ED 80-0013 (“Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements”), ED 80-0014 (Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion), Standard Form SF 424B (“Assurances-Non-Construction Programs”), and Standard Form LLL (“Disclosure of Lobbying Activities”) before an award is made.

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that

**Failure to meet a deadline will mean that an applicant will be rejected
without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracting Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 8 '92 REPLACES ED FORM 5348, 6 '86, WHICH IS OBSOLETE

Executive Order 12372 - Intergovernmental Review

The Education Department General Administrative Regulations (EDGAR), 34 CFR 79, pertaining to intergovernmental review of Federal programs, apply to the program(s) included in this application package.

This program is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive order. If you want to know the name and address of any State Single Point of Contact, see the list published in the Federal Register on September 21, 1992 (57 FR 43526).

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in this notice to the following address: The Secretary, E.O. 12372-CFDA No. 84.004D, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, D.C. 20202.

Proof of mailing will be determined on the same basis as applications (see CFR 75.102). Recommendations or comments may be hand-delivered until 4:30p.m. (Washington, D.C. time) on the date indicated in this notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATION TO THE ABOVE ADDRESS.

State Single Point of Contact

ARKANSAS

Mr. Tracy L. Copeland
Manager
Office of Intergovernmental Services
Department of Finance and Administration
1515 W. 7th Street, Rm. 412
Little Rock, AR 72203
(501) 682-1074
(501) 682-5206 fax

DISTRICT OF COLUMBIA

Ron Seldon
State Single Point of Contact
Office of Grants Mgmt. & Dev.
717 14th Street, NW
Suite 1200
Washington, D.C. 20005
(202) 727-6537
(202) 727-1617 fax

GEORGIA

Zj Curry
Administrator
Georgia State Clearinghouse
270 Washington Street, S., W. 8th Floor
Atlanta, Georgia 30334
(404) 656-3855
(404) 656-7501 fax

ILLINOIS

Ms. Virginia Bova
Single Point of Contact
Illinois Department of Commerce
And Community Affairs
James R. Thompson Center 100
West Randolph Suite 3-400
Chicago, IL 60601
(312) 814-6028
(312) 814-8485 fax

IOWA

Steven R. McCann
Division for Community and Rural Development
Iowa Department of Economic Development
200 East Grand Avenue
Des Moines, Iowa 50309
(515) 242-4719
(515) 242-4809 fax

KENTUCKY

Ronald Cook
State Single Point of Contact
1024 Capital Center Drive
Suite 340
Frankfort, KY 40601
(502) 573-2382
(502) 573-0175 fax

MAINE

Joyce Benson
State Planning Office
184 State Street
38 State House Station
Augusta, Maine 04333
(207) 287-1461
(207) 287-6489 fax

MARYLAND

Linda Janey
Director
Clearinghouse & Plan Review Unit
Maryland Department of Planning
301 W. Preston Street
Room 1104
Baltimore, Maryland 21201-2365
Staff Contact: Linda Janey
(410) 767-4490
(410) 767-4480 fax

MICHIGAN

Richard Pfaff
Southeast Michigan Council of Governments
660 Plaza Drive
Suite 1900
Detroit, MI 48226
(313) 961-4266
(313) 961-4869 fax

MISSISSIPPI

Cathy MaHette
Clearinghouse Officer
Department of Finance and Administration
1301 Woolfolk Building, Suite E
501 Northwest Street
Jackson, MS 39201
(601) 359-6762
(601) 359-6758 fax

MISSOURI
Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Room 760
Truman Building
Jefferson City, MO 65102
(314) 751-4834
(314) 751-7819 fax

NEW HAMPSHIRE
Jeffrey H. Taylor
Director, New Hampshire Office of State Planning
Attn: Intergovernmental Review Process - Mike
Blake
2 1/2 Beacon Street
Concord, NH 03301
(603) 271-2155
(603) 271-1728 fax

NEW MEXICO
Ken Hughes
Local Government Division, Room 201
Bataan Memorial Building
Santa Fe, NM 87503
(505) 827-4370
(505) 827-4948

NORTH CAROLINA
Jeanette Furney
Coordinator
Intergovernmental Reviews
N.C. State Clearinghouse
Office of the Secretary of Admin.
116 West Jones Street
Suite 5106
Raleigh, NC 27603-8003
(919) 807-2425
(919) 733-9571 fax

SOUTH CAROLINA
Omeagia Burgess
State Single Point of Contact
Budget and Control Board
Office of State Budget
1122 Lady St. 12th fl.
Columbia, SC 29201
(803) 734-0494
(803) 734-0645

TEXAS
Denise Francis
Director
Governors Office, Grants Team
P.O. Box 12428
Austin, Texas 78711
(512) 463-8465
(512) 936-2681 fax

UTAH
Carolyn Wright
Utah State Clearinghouse
Governor's Office of Planning and Budget
Room 116 State Capitol
Salt Lake City, Utah 84114
(801) 538-1535
(801) 538-1547 fax

WEST VIRGINIA
Fred Cutlip, Director
Community Development Division
W. Virginia Development
Office Building #6, Room 553
Charleston, WV 25305
(304) 558-4010
(304) 558-3248 fax

WISCONSIN
Jeff Smith
Section Chief, State/Federal Relations
Wisconsin Department of Administration
101 East Wilson Street, 6th Floor
P.O. Box 7868
Madison, WI 53707
(608) 266-0267
(608) 267-6931 fax

WYOMING
Matthew Jones
State Single Point of Contact Office of the Governor
200 West 24th Street
State Capitol, Room 124
Cheyenne, WY 82002
(307) 777-7446
(307) 632-3909 fax

TERRITORIES

GUAM

Mr. Giovanni T. SgambeHuri, Director
Bureau of Budget and Management Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910
011-671472-2285
01 1-671472-2825 fax

NORTH MARIANA ISLANDS

Mr. Alvaro A. Santos
Executive Officer
Office of Management and Budget
Office of the Governor
Saipan, MP 96950
(670) 664-2256
(670) 664-2272 fax
Contact person: Ms. Jacoba T. Seman
Federal Programs Coordinator
(670) 664-2289
(670) 664-2272 fax

VIRGIN ISLANDS

NeBon Bowry
Director, Office of Management and Budget
441 Norregade Emancipation
Garden Station
Second Floor
Saint Thomas, Virgin Islands 00802
Please direct all questions and correspondence about
intergovernmental review to:
Linda Clarke
(809) 774-0750
(809) 776-0069 fax

FORMS AND ASSURANCES

The following forms are required in all applications and before an award is made. These forms, which are included on the following pages, may be photocopied as necessary.

For Partnership Grant Applications:

Title Page Form (Approved by OMB 1840-0740)
Students to be Served Form (Approved by OMB 1840-0740)
Project Budget Summary Form (Approved by OMB 1840-0740)
Applicant Organization Identification Form and Cost Share Worksheet (Approved by OMB 1840-0740)
Partner Identification Form and Cost Share Worksheet (one for **each** partner other than the Applicant Organization) (Approved by OMB 1840-0740)
Form ED 80-0013 (“Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements”)
Standard Form SF424B (“Assurances-Non-Construction Programs”)
Standard Form LLL (“Disclosure of Lobbying Activities”)
ED 80-0014 (Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion)

For State Grant Applications:

Title Page Form (Approved by OMB 1840-0740)
Students to be Served Form (Approved by OMB 1840-0740)
Budget Summary Form (Approved by OMB 1840-0740)
ED 80-0013 (“Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements”)
Standard Form SF424B (“Assurances-Non-Construction Programs”)
Standard Form LLL (“Disclosure of Lobbying Activities”)
ED 80-0014 (Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion)

THE APPLICANT CERTIFIES TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF THAT THE DATA IN THIS APPLICATION ARE TRUE AND CORRECT AND THAT THE FILING OF THE APPLICATION HAS BEEN DULY AUTHORIZED BY GOVERNING BODY OF THE APPLICANT, AND THAT THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF ASSISTANCE IS APPROVED.

Voluntary Electronic Forms Submission

To further expedite the process, the GEAR UP program will be piloting an Internet based system to collect the information contained on the forms in the application book. This system will allow you to access an online application form and enter your information. It will then compose a set of application forms for you to print, sign, and submit with your proposal. **The only official applications are the ones submitted in hard copy to ACC in accordance with the application deadline date requirements.** No special consideration is offered for participation. We hope that you will take advantage of this system, as it will help us increase the accuracy and efficiency of the process.

Information on this voluntary submission can be found on the GEAR UP web site (<http://www.ed.gov/gearup>). These forms should be submitted concurrently with the **delivery of your complete application package.** Please note that even if you submit forms electronically, you are required to include a print out copy with your application.

INSTRUCTIONS FOR COMPLETING TITLE PAGE FORM

****DO NOT FORGET TO SIGN THE FORM****

- ITEM 1. LEAVE BLANK -- FOR OFFICE USE ONLY**
- ITEM 2. DUNS Number:** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com/dbis/aboutdb/intlduns.htm>.
- ITEM 3. APPLICANT:** Enter the name and complete mailing address of the agency or organization that will serve as the legal applicant. When more than one institution or agency is involved, enter the name of the one that will be responsible for project management. NOTE: Acknowledgments of grant awards are sent to this address. The Applicant also serves as the fiscal agent and is responsible for the completion and accuracy of all reporting documents. Remember to complete this section fully.
- ITEM 4. POINT OF CONTACT:** Enter the name and complete mailing address of the person who can be contacted to discuss the programmatic aspects of the project. NOTE: Name and address listed here will be used to mail notifications of application status. Both this address and the Applicant Organization address should be detailed. Remember to include the telephone and fax numbers and to complete this section fully.
- ITEM 5. FEDERAL FUNDS REQUESTED:** Enter the amount of Federal funds being requested in each year of the project. Under "TOTAL" enter the cumulative amount requested for the duration of the project.
- ITEM 6. TYPE OF GRANT:** Check the appropriate box to indicate whether the application is being submitted by a State, or by a consortium of partners. If you are applying as a Partnership, specify the cohort model or models being proposed in the application.
- ITEM 7. ARE YOU PARTICIPATING IN ANY OTHER GRANT APPLICATION?:** Check Yes or No. If you are participating in another GEAR UP grant application, provide the name of the organization applying. Identify all grant applications for which you are participating.
- ITEM 8. BRIEF ABSTRACT OF APPLICATION:** Provide a concise description of your project. You are limited to the space provided, but in no case should you leave this blank.
- ITEM 9. CERTIFICATION BY AUTHORIZING OFFICIAL:** Enter the name, title, and telephone number of the official who has the authority both to commit the Applicant Organization to accepting Federal funding and to execute the proposed project. **Submit the original ink-signed copy of the authorizing official's signature.**

**GAINING EARLY AWARENESS AND READINESS
FOR UNDERGRADUATE PROGRAMS GRANT APPLICATION
TITLE PAGE FORM**

OMB No. 1840-0740
Form Exp: 4/30/2003

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0740. The time required to complete this information collection is estimated to average 20 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U. S. Department of Education, Office of Postsecondary Education, Higher Education Programs, GEAR UP Program Office, 1990 K Street N.W., Washington, DC 20006.

This application should be sent to:

U.S. Department of Education
CFDA Number 84.334
Application Control Center
Room 3633, ROB 3
Washington, D.C. 20202-4725

1. Application No. (For ED Use Only)

2. DUNS Number

3. Applicant Organization

Legal Name

Address (Complete)

4. Point of Contact

Name and Title

Telephone:

Fax:

E-mail:

Check here if this person will be the Project Coordinator. ☐

5. Federal Funds Requested:

1st Year _____
2nd Year _____
3rd Year _____
4th Year _____
5th Year _____
TOTAL _____

6. Type of Grant:

☐ State

☐ Partnership

Cohort: (check all that apply)

☐ School-based

☐ Public Housing

7. Are you participating in any other GEAR UP grant application? ☐ No ☐ Yes

If Yes, Name of Applicant:

8. Are any research activities involving human subjects planned at any time during the proposed project period? ☐ Yes ☐ No

A. If "Yes", exemption #: _____

B. Assurance compliance #: _____

C. IRB Approval date: _____

Full IRB or _____ **expedited review.**

9. Brief Abstract of Application: (Do not leave this blank)

10. Certification by Authorizing Official

The applicant certifies to the best of his/her knowledge and belief that the data in this application are true and correct and that the filing of the application has been duly authorized by governing body of the applicant, and that the applicant will comply with the attached assurances if assistance is approved.

Name _____ **Title** _____ **Telephone** _____

Signature _____ **Date** _____

STUDENTS TO BE SERVED FORM

For *all* Partnership Grants, *and* for those State Grants using a cohort approach:

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
Kindergarten					
1 st					
2 nd					
3 rd					
4 th					
5 th					
6 th					
7 th					
8 th					
9 th					
10 th					
11 th					
12 th					
Total Students Served					

For those State Grants *not* using the cohort approach:

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
Total Students Served					

For Partnerships using a *school-based* cohort approach:

Check only one

☐ At least 50% of all the students in the participating school(s) from which the cohort(s) is drawn are *eligible* for free or reduced-priced lunch under the National School Lunch Act.

☐ At least 75% of all the students in the participating school(s) from which the cohort(s) is drawn *and* at least 50% of all the students in each participating school district from which the participating school(s) are drawn are *eligible* for free or reduced-priced lunch under the National School Lunch Act.

PROJECT BUDGET SUMMARY FORM

FEDERAL FUNDS REQUESTED FROM THE GEAR UP GRANT PROGRAM

Direct Costs:	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL
1. Salaries and Wages						
2. Employee Benefits						
3. Travel						
4. Equipment Purchase						
5. Materials and Supplies						
6. Consultants & Contracts						
7. Other						
A. Total Direct Costs: <i>(Sum of lines 1-7)</i>						
B. Total Indirect Costs: <i>(cannot be greater than 8% of Total Direct Costs)</i>						
C. Scholarships/ Tuition Assistance						
D. TOTAL REQUESTED <i>A + B + C (Enter these figures in Item 5 of the Title Page)</i>						

MATCHING FUNDS PROVIDED BY NON-FEDERAL SOURCES

Direct Costs:	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL
1. Salaries and Wages						
2. Employee Benefits						
3. Travel						
4. Equipment Purchase						
5. Materials and Supplies						
6. Consultants & Contracts						
7. Other						
E. Total Direct Costs: <i>(Sum of lines 1-7)</i>						
F. Total Indirect Costs: <i>(cannot be greater than 8% of Total Direct Costs)</i>						
G. Scholarships/ Tuition Assistance						
H. TOTAL MATCHING FUNDS FROM NON-FEDERAL SOURCES						

TOTAL PROJECT COST <i>(Add Lines D + H)</i>						
---	--	--	--	--	--	--

* All items must be addressed in the detailed budget justification

APPLICANT ORGANIZATION IDENTIFICATION FORM AND COST SHARE WORKSHEET

Please provide the following information for the Applicant Organization and its share of matching commitments (cash or in-kind) for each year of the proposed project.

1. Type of Institution/Organization:

☐ Local Education Agency

☐ Institution of Higher Education

(check all that apply)

A. ☐ Four-Year or ☐ Two-Year

B. ☐ Public or ☐ Private

C. ☐ College or ☐ University

D. ☐ HBCU ☐ HSI ☐ TCCU ☐ NHSI OR ☐ ANSI

2. Matching Funds Provided by Applicant Organization

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL
1. Salaries and Wages						
2. Employee Benefits						
3. Travel						
4. Equipment						
5. Materials and Supplies						
6. Consultants and Contracts						
7. Other						
A. Total Direct Costs (Sum of lines 1-7)						
B. Total Indirect Costs: (cannot be greater than 8% of Total Direct Costs)						
C. Scholarships/ Tuition Assistance						
D. TOTAL COMMITMENT (Lines A + B+ C)						

PARTNER IDENTIFICATION FORM AND COST SHARE WORKSHEET

Please complete one form for each partner (other than the Applicant Organization).

1. Institution/Organization _____
Point of Contact: Name _____
 Title _____
 Department _____

Address _____
 City _____ State _____ Zip _____
 Telephone _____ e-mail _____ Fax _____

2. Type of Organization:

- ☐ Local Education Agency
☐ Institution of Higher Education
(check all that apply)
 A. ☐ Four-Year or ☐ Two-Year
 B. ☐ Public or ☐ Private
 C. ☐ College or ☐ University
 D. ☐ HBCU ☐ HSI ☐ TCCU ☐ NHSI or ☐ ANSI

Other types:

- ☐ Business
☐ Community-based organization
☐ Professional association
☐ Philanthropic Organization
☐ State Agency
☐ Other: _____

3. Non-Federal Fund contribution provided by Partner

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL
1. Salaries and Wages						
2. Employee Benefits						
3. Travel						
4. Equipment						
5. Materials and Supplies						
6. Consultants and Contracts						
7. Other						
A. Total Direct Costs <i>(Sum of lines 1-7)</i>						
B. Total Indirect Costs: <i>(Cannot be greater than 8% of Total Direct Costs)</i>						
C. Scholarships/Tuition Assistance						
D. TOTAL <i>(Lines A + B + C)</i>						

Please summarize the partner's specific support and commitment to the project in this space.

SIGNATURE OF AUTHORIZING OFFICIAL: _____

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust

statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs

(a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 600 Independence Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for Federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract ___ b. grant ___ c. cooperative agreement ___ d. loan ___ e. loan guarantee ___ f. loan insurance	2. Status of Federal Action: a. bid/offer/application ___ b. initial award ___ c. post-award	3. Report Type: a. initial filing ___ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: ___ Prime ___ Subawardee Tier _____, if known: <div style="text-align: center;">Congressional District, if known:</div>	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: <div style="text-align: center;">Congressional District, if known:</div>	
6. Federal Department/Agency: 	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known: 	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i> 	b. Individuals Performing Services <i>(including address if different from No. 10a) (last name, first name, MI):</i> 	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____ </div> <div style="width: 45%; text-align: center;"> Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97) </div> </div>		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%; background-color: #f0f0f0; padding: 5px;"> Federal Use Only </div> <div style="width: 45%;"></div> </div>		

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
11. Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
12. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION -- LOWER TIER COVERED TRANSACTIONS

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the

department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

NOTICE TO ALL APPLICANTS:

Guidance on Section 427 of GEPA

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

ESTIMATED BURDEN STATEMENT FOR GEPA REQUIREMENTS

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-465 1.

NOTICE TO ALL APPLICANTS:

The Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly State what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1: Help all students reach challenging academic standards so that they are prepared for responsible citizenship; further learning, and productive employment.
- Goal 2: Build a solid foundation for learning for all children.
- Goal 3: Ensure access to postsecondary education and lifelong learning.
- Goal 4: Make the Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.

The performance indicators for the GEAR UP Program are part of the Department's plan for meeting Goals 1, 2, and 3. GEAR UP places special emphasis on one of the Department's objectives for Goal 3 which is that "secondary school students get the information and support they need to prepare successfully for postsecondary education."

GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS (GEAR UP)*

Goal: To ensure that disadvantaged middle school and secondary school students are prepared for, pursue, and succeed in postsecondary education.

Relationship of Program to Volume 1, Department-wide Objective 3.1 (secondary school students get the information, skills, and support they need to prepare successfully for postsecondary education) by creating local partnership and state programs to provide information and individualized support services such as mentoring and tutoring to middle and secondary school students and their parents to help students prepare for postsecondary education.

FY 2000-\$200,000,000

FY 2001-\$295,000,000

OBJECTIVE 1: INCREASE THE ACADEMIC PERFORMANCE AND PREPARATION FOR POSTSECONDARY EDUCATION OF PARTICIPATING STUDENTS.

Indicator 1.1 Completion of academically challenging curricula: Program participants will successfully complete college preparatory courses such as algebra, geometry, chemistry, and physics at increasing rates.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>The percent of seventh graders who passed the following subject areas.</i>			Status: New program; performance data not yet available.	Source: Annual program performance reports and program evaluation study. <i>Frequency:</i> Annually <i>Next Update:</i> 2000
Year	Actual Performance	Performance Targets	Explanation: Interim data will be collected on successful completion of core academic subjects until students reach grades where they may take algebra, geometry, etc.	Validation Procedure: No formal validation procedure used. Limitations of Data and Planned Improvements: None
1999:	No data available	N/A		
2000:		Baseline data		
2001:		Continuing increase		

OBJECTIVE 2: INCREASE THE RATE OF HIGH SCHOOL GRADUATION AND PARTICIPATION IN POSTSECONDARY EDUCATION OF PARTICIPATING STUDENTS.

Indicator 2.1 Attendance, high school completion, and postsecondary enrollment: Program participants will have high rates of attendance in school, be promoted to the next grade level on time, and successfully complete high school and enroll in postsecondary education programs at increasing rates.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>The percentage of participating seventh graders promoted to the next grade level and the percentage with high rates of attendance.</i>			Status: New program; performance data not yet available.	Source: Annual program performance reports and program evaluation study. <i>Frequency:</i> Annually <i>Next Update:</i> 2000
Year	Actual Performance	Performance Targets	Explanation: First data available in 2000	Validation Procedure: No formal validation procedure used. Limitations of Data and Planned Improvements: None
1999:	No data available	N/A		
2000:		Baseline data		
2001:		Continuing increase		

* These will be updated yearly.

OBJECTIVE 3: INCREASE EDUCATIONAL EXPECTATIONS FOR PARTICIPATING STUDENTS AND STUDENT AND FAMILY KNOWLEDGE OF POSTSECONDARY EDUCATION OPTIONS, PREPARATION, AND FINANCING.

Indicator 3.1 Knowledge of postsecondary education costs, financing, and academic preparation: Program assistants and their families will increasingly report having knowledge of postsecondary education costs, available financial aid, and necessary academic preparation for college.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
Year	Actual Performance	Performance Targets	Status: New program; performance data not yet available. Explanation: First data available in 2000	Source: Annual program performance reports and program evaluation study. <i>Frequency:</i> Annually <i>Next Update:</i> 2000 Validation Procedure: No formal validation procedure used. Limitations of Data and Planned Improvements: None
FY 1999	No data available	N/A		
FY 2000		Baseline data		
FY 2001		Continuing increase		

Indicator 3.2 Student, family, and teacher expectations: Participating students, their families, and their teachers will have high educational expectations, which are sustained throughout the life of the program.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
Year	Actual Performance	Performance Targets	Status: New program; performance data not yet available. Explanation: First data available in 2000	Source: Annual program performance reports and program evaluation study. <i>Frequency:</i> Annually <i>Next Update:</i> 2000 Validation Procedure: No formal validation procedure used. Limitations of Data and Planned Improvements: None
FY 1999	No data available	N/A		
FY 2000		Baseline data		
FY 2001		Sustained high expectations		

KEY STRATEGIES

Strategies Continued from 1999

- Disseminate information to prospective applicants, collect and report information on best practices, and support high-quality projects by working with national organizations such as the Ford Foundation.
- Provide grantee flexibility and ensure program integrity and accountability by working with the community to develop program regulations and other program requirements that impose minimal burden.

New or Strengthened Strategies

- Provide grantees and their partners with technical assistance through telephone contact, e-mail, and periodic workshops to forge a results-oriented program, in which grantees' services (a) are directly linked to annual objectives and program goals, (b) are based on empirical evidence that attests to their effectiveness in raising the aspirations and academic performance of low-income youth, and (c) produce measurable, quantifiable outcomes.
- Write and disseminate technical memoranda to grantees on issues such as collecting, maintaining, and assessing baseline data on students; and establishing benchmarks of expected levels of achievement at specific intervals during the year.
- Develop data shells to facilitate grantees' collection, assessment, and submission of student demographic, program participation, and outcome data.
- Develop a standardized annual performance report.

HOW THIS PROGRAM COORDINATES WITH OTHER FEDERAL ACTIVITIES

- Supplements HUD efforts to provide educational assistance to other supports to children and parents living in public housing, as defined in section 3(b) (1) of the US Housing Act of 1937.
- Fosters a relationship between the US Department of Education and Health and Human Services (HHS), because the Gear Up legislation requires state grantees that do not use a whole-grade cohort approach to target students in preschool through 12th grade who are eligible for Title I services, free or reduced price meals under the National School Lunch Act (NSLA), or assistance under Temporary Assistance to Needy Families (TANF), as authorized by Title I of the Personal Responsibility and Work Opportunity Reconciliation act of 1996.
- Encourages grantees to assist HHS in its efforts to provide information to low-income parents with respect to Children's Health Insurance Program (CHIP).
- Coordinates resources, data collection, and analysis efforts, and policy with other with other primary Federal initiatives, such as the 10 Regional Educational Laboratories and 6 Regional Technology in Education Consortia, in order to obtain technical assistance in areas such as assessment and accountability; curriculum, learning, and instruction; technology; and urban education.
- Takes the initiative to coordinate with, complement, and enhance the efforts of state programs and initiatives such as Liberty Partnership Program and Science and Technology Entry Program in New York and local initiatives such as Boston Compact and the Boston Plan for Excellence (MA).

CHALLENGES TO ACHIEVING PROGRAM GOAL

- Ensuring that the intervention strategies (a) are based on empirical evidence that attests to their effectiveness in preparing low-income youth for more advanced learning and (b) produce measurable and quantifiable outcomes.
- Ensuring that Gear Up students actively and consistently participate in services that address their educational needs; enhance their capacity for more accelerated learning, and improve their classroom achievement, standardized test scores, and ability to meet rigorous college entrance requirements.
- Ensuring that grantees will
 - (a) benchmark the progress of students, by setting expected values of student achievement at specific intervals during the school year;
 - (b) use valid, analytically sound methods to measure students classroom performance;
 - (c) assess students' knowledge of college programs, costs, and financing opportunities;
 - (d) compare expected to actual values of student performance at frequent time intervals; and
 - (e) make appropriate adjustments to the type, quality, frequency, and duration of Gear Up provisions.

INDICATOR CHANGES

From FY 1999 Annual Plan (two years old)

Adjusted – N/A

Dropped – N/A

From FY 2000 Annual Plan (last year)

Adjusted

- Objective 3 became this year's Objective 2, and is worded, "Increase the rate of high school graduation and participation in postsecondary education of participating students."
- Objective 2 became this year's Objective 3, and is worded, "increase educational expectations for participating students, and student and family knowledge of postsecondary options, preparation, and financing."
- The number of objectives has been reduced from five (last year) to three (this year).
- Last year's indicators 1.2 and 3.1 were combined to streamline performance plans, resulting in this year's Indicator 2.1. Last year's Indicator 2.1 and 2.3 were combined to streamline performance plans, resulting in this year's Indicator 3.1.
- The term "guidance counselors" was eliminated in Indicator 2.2 because of measurement difficulties and in order to reduce reporting burden on grantees, resulting in this year's Indicator 3.2.

Dropped

- Objectives 4 and 5 were dropped.
- Indicators 1.3, 4.1, 4.2, and 5.1 were dropped because they did not measure program outcomes. These indicators will be retained for internal management purposes.
- The number of indicators has been reduced from 10 (last year) to 4 (this year).

New – None.

FEDERAL RESOURCES TO HELP PLAN GEAR UP PROJECTS

Many resources are available on our web site. Some are also available in printed form. Contact our office for more information at (202) 502-7803.

- **Think College Early WEB SITE.** The Think College Early public information campaign includes many resources and publication, including the Think College Early web site. In addition to offering on-line copies of many publications, this web site provides information, strategies and resources to help middle grades students, parents, educators, community organizations, businesses, and others learn how to promote early college awareness. The web site also includes information about financial aid for college, the core academic courses needed for college, career awareness, and other resources. (<http://www.ed.gov/thinkcollege/early>)
- **Think College Early LISTSERV.** This newsletter, distributed over e-mail, offers strategies for heightening early college awareness within schools, updates on pertinent legislation, and information about listproc@inet.ed.gov from your own computer: *subscribe thinkcoll yourfirstname yourlastname*.
- **STUDENT PUBLICATION: *Think College? Me? Now?*** A roadmap to college for middle and junior high school students, this publication helps students to understand what it means and what it takes to get ready for college: Setting high expectations, taking the right courses, finding a mentor, and learning about how to pay for college. To order, FedAid call toll-free 1-800-4 FED-AID.
- **Partnership for Family Involvement in Education.** The partnership was started in September 1994 by the Secretary of Education, Richard W. Riley, in an effort to join together employers, educators, families, religious groups, and community organizations to improve schools and raise student achievement. This web site contains: links to publications to help develop effective projects and partnerships; a listing of thousands of organizations are currently members of the Partnership, representing every state in the country; suggestions to help build partnerships; and it allows organizations to connect with other groups to share and learn from one another. (<http://pfie.ed.gov/>).
- **Expanding Federal Work-Study and Community Service Opportunities,** An FWS Resource Guide from the U.S. Department of Education, May 1997. (<http://www.ed.gov/offices/OPE/pubs/WorkStudy/>)
- **Federal Work Study Waivers for Reading and Math Tutors:** On July 1, 1997, the U.S. Department of Education issued a regulation encouraging Federal work-study students to serve as reading tutors by waiving the requirement that employers pay part of their wages. The Clinton-Gore Administration is expanding the Federal Work-Study Waiver to include mathematics tutoring, effective July 1, 1999. (<http://www.ed.gov/inits/Math/acc/fws-fact.html>)

- **America Counts.** A U.S. Department of Education initiative to help all students master challenging mathematics, including the foundations of algebra and geometry, by the end of 8th grade. (<http://www.ed.gov/inits/Math/>)
- **America Reads.** The goal of the America Reads Challenge is to ensure that every child can read independently by the end of the third grade. To achieve this goal, the President called for a substantial increase in the number of tutors and mentors available to young children. (<http://www.cns.gov/areads/>)
- **AmeriCorps.** Information about how your organization can be a partner in service with AmeriCorps. (<http://www.cns.gov/partners/index.html>)
- **Federal Resources for Educational Excellence.** On April 18, 1997, President Clinton asked Federal agencies to determine what “resource you can make available that would enrich the Internet as a tool for teaching and learning.” In response, more than 30 Federal agencies formed a working group to make hundreds of federally supported education resources available at this web site. (<http://www.ed.gov/free/>)

CONTACT INFORMATION

SEND APPLICATIONS TO:

Gaining Early Awareness and Readiness for Undergraduate Programs

ATTN: Joyce Mays

U.S. Department of Education

Application Control Center

Regional Office Building-3, Room 3633

Washington, D.C. 20202-4725

Telephone: 202-708-8228

REMEMBER:

- ◆ **Applications mailed must be postmarked on or before March 30, 2001.**
- ◆ **Applications that are FAXED or E-Mailed are not acceptable.**
- ◆ **Hand delivered applications or applications sent via commercial carrier must be received no later than 4:30 p.m., Eastern Time on March 30, 2001.**

QUESTIONS ABOUT THE PROGRAM CAN BE DIRECTED TO:

GEAR UP

Office of Postsecondary Education

1990 K Street, NW, Room 6101

Washington, D.C. 20202-5211

Phone: 202-502-7676

Fax: 202-502-7675

E-mail: gearup@ed.gov

Web Page: <http://www.ed.gov/gearup>

APPLICATION PACKAGE CHECKLIST

APPLICATION DEADLINE DATE: MARCH 30, 2001

CHECKLIST:

- ☐ The Application Title Page has been completed according to the instructions.
- ☐ The Application Title Page has been signed and dated by an authorized official and the signed original has been included with your submission.
- ☐ **SUBMIT ONE ORIGINAL PLUS TWO COPIES OF THE APPLICATION AND THE APPENDIX (INCLUDING ONE UNBOUND COPY SUITABLE FOR PHOTOCOPYING), PLUS FOUR VOLUNTARILY SUBMITTED ADDITIONAL COPIES WITH TITLE PAGES. EACH COPY SHOULD INCLUDE THE FOLLOWING SECTIONS:**

THE APPLICATION: <ul style="list-style-type: none"><input type="checkbox"/> Title Page Form (page 1)<input type="checkbox"/> Students to be Served Form (page 2)<input type="checkbox"/> Table of contents (page 3)<input type="checkbox"/> Abstract (page 4 - one page maximum)<input type="checkbox"/> Narrative (40 page maximum)<input type="checkbox"/> Project Budget Summary Form and detailed budget justification	
THE APPENDIX FOR PARTNERSHIP GRANTS: <ul style="list-style-type: none"><input type="checkbox"/> Applicant Organization Identification Form and Cost Share Worksheet<input type="checkbox"/> Partner Identification Form and Cost Share Worksheet (one for <i>each</i> partner, excluding the Applicant Organization)<input type="checkbox"/> Documentation of Student Eligibility for Free & Reduced-Priced Lunch<input type="checkbox"/> Equitable Access and Participation<input type="checkbox"/> Form ED 80-0013<input type="checkbox"/> Standard Form SF424B<input type="checkbox"/> Standard Form LLL<input type="checkbox"/> Form ED 80-0014	THE APPENDIX FOR STATE GRANTS: <ul style="list-style-type: none"><input type="checkbox"/> Request for Waiver<input type="checkbox"/> Letter from the Governor<input type="checkbox"/> Equitable Access and Participation<input type="checkbox"/> Form ED 80-0013<input type="checkbox"/> Standard Form SF424B<input type="checkbox"/> Standard Form LLL<input type="checkbox"/> Form ED 80-0014

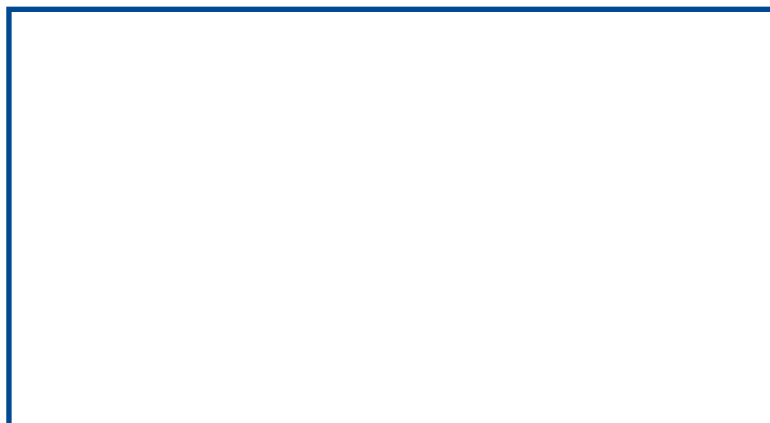
U.S. Department of Education
Office of Postsecondary Education
Higher Education Programs
Washington, D.C. 20202-5131

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Standard Mail (A)

To:

A large, empty rectangular box with a thin blue border, intended for the recipient's address. It is centered within a large white gear-shaped graphic on a blue background.